

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF STATE
BUREAU OF SECURITIES REGULATION**

IN THE MATTER OF:

Curtis S. Ridlon

Respondent

)
)
) ORDER TO CEASE AND DESIST
)
)
) C--2015000011
)

NOTICE OF ORDER

This Order commences an adjudicative proceeding under the provisions of RSA 421-B:6-613.

LEGAL AUTHORITY AND JURISDICTION

Pursuant to RSA 421-B:6-604(a), the Secretary of State has the authority to issue and cause to be served an order requiring any person appearing to him to be engaged or about to be engaged in any act or practice constituting a violation of RSA 421-B or any rule or order thereunder, to cease and desist from violations of RSA 421-B.

Pursuant to RSA 421-B:5-508, any person who willfully violates a cease and desist order issued pursuant to RSA 421-B:6-603 or RSA 421-B:604, or who violates RSA 421-B:5-505 knowing that the statement was false or misleading in any material respect, shall be guilty of a class B felony.

Pursuant to RSA 421-B:6-604(d), the Secretary of State has the authority to impose administrative penalties of up to \$2,500 for a single violation.

Pursuant to RSA 421-B:6-604(e) the Secretary of State may order rescission, restitution or disgorgement for violations of this chapter.

Pursuant to RSA 421-B:6-604(g), the Secretary of State may charge the actual cost of an investigation or proceeding for a violation of this chapter or an order issued under this chapter.

NOTICE OF RIGHT TO REQUEST A HEARING

Under the provisions of RSA 421-B:6-604, the above named respondent has the right to request a hearing on this order to cease and desist.

Any such request for a hearing shall be in writing, shall be signed by the respondent, or by the duly authorized agent of the above named respondent, and shall be delivered either by hand or certified mail, return receipt requested, to the Bureau of Securities Regulation, Department of State, 25 Capitol Street, Concord, New Hampshire 03301.

Under the provisions of RSA 421-B: 6-604(b), within 15 days after receipt of a request in a record from the Respondent, the matter will be scheduled for a hearing. If a respondent subject to the order does not request a hearing and none is ordered by the secretary of state within 30 days after the date of service of the order, the order becomes final as to that Respondent. If a hearing is requested or ordered, the secretary of state, after notice of and opportunity for hearing to each respondent subject to the order, may modify or vacate the order or extend it until final determination. If the respondent to whom a cease and desist order is issued fails to appear at the hearing after being duly notified, such respondent shall be deemed in default, and the proceeding may be determined against him or her upon

consideration of the cease and desist order, the allegations of which may be deemed to be true.

STATEMENT OF ALLEGATIONS

The allegations contained in the Staff Petition for Relief dated April 25, 2017, (a copy of which is attached) are incorporated by reference hereto.

ORDER

WHEREAS, finding it necessary and appropriate and in the public interest, and for the protection of investors and consistent with the intent and purposes of the New Hampshire securities laws, and

WHEREAS, finding that the allegations contained in the Staff Petition, if proved true and correct, form the legal basis of the relief requested, therefore:

It is hereby **ORDERED**, that:

1. Respondent is hereby ordered to immediately cease and desist from the above indicated acts and from in any other way violating RSA 421-B.
2. Respondent shall pay restitution in the amount of \$1,343,472.20.
3. Respondent shall disgorge himself of ill- gotten gains in the amount of \$1,513,711.09
4. Respondent shall pay an administrative fine of \$3,235,000.
5. Respondent shall pay the Bureau's investigation costs of \$200,000.
6. Respondent is permanently barred from securities licensure in the State of New Hampshire.

7. Failure to request a hearing within 30 days of the date of receipt of this Order shall result in a default judgment being rendered and administrative penalties and other relief described herein being imposed upon the defaulting Respondent.

SIGNED,
WILLIAM M. GARDNER
SECRETARY OF STATE
BY HIS DESIGNEE:

Dated: April 27, 2017


BARRY J. GLENNON, DIRECTOR,
BUREAU OF SECURITIES REGULATION

STATE OF NEW HAMPSHIRE
DEPARTMENT OF STATE
BUREAU OF SECURITIES REGULATION
25 CAPITOL STREET
CONCORD, NH 03301

STAFF PETITION FOR RELIEF
IN THE MATTER OF:

Curtis S. Ridlon (CRD # 1405226)

C-2015000011

- I. The State of New Hampshire, Department of State, Bureau of Securities Regulation (hereinafter referred to as “the Bureau”), hereby petitions the Director, and makes the following statement of facts:

STATEMENT OF FACTS

1. Curtis S. Ridlon (hereinafter “Ridlon”) currently resides in Hooksett, New Hampshire. Ridlon was employed by Waddell & Reed Inc. (hereinafter “Waddell”) from August of 1985 until his resignation on or about October 14, 2016. Waddell is both a securities broker-dealer and a registered investment adviser serving clients nationwide. Ridlon was licensed by the Bureau as a registered representative of Waddell since at least February 7, 1989 and licensed by the Bureau as an investment adviser representative with Waddell since at least June 28, 1998. Ridlon terminated his employment with Waddell in October 2016 and is no longer licensed as a securities professional in New Hampshire or elsewhere.
2. On June 19, 2015, the Bureau received a written complaint against Ridlon and Waddell from former clients of Ridlon alleging, in part, that they paid annual fees ranging from \$8,000 - \$10,000 and that “something did not seem right.” Upon receipt of this complaint, the Bureau commenced an investigation. From the fall of 2015 though early 2016, the Bureau

proceeded with its investigation of the complaint, which included requesting and reviewing relevant documents, interviewing the complainants, and interviewing Ridlon, his associates, and his supervisors. Based on what the Bureau learned through its investigation, the Bureau determined it prudent to expand its investigation to include other clients of Ridlon. Ultimately, after extensive investigation and interviewing over eighty (80) of Ridlon's clients the Bureau determined that Ridlon had committed a widespread fraud against many of his clients over a period of approximately eight years. This fraud allowed Ridlon to fraudulently obtain up to two million, eight hundred thousand dollars (\$2,800,000) in fees from those same clients. Many of Ridlon's clients are in their 60s, 70s and 80s with his oldest client being 98 years old.

3. As part of Waddell's investment adviser business, it offers optional financial planning to clients and has a wide array of proprietary financial planning products from which to choose. Fees for these financial planning products are either set by Waddell and non-negotiable or, for some advisers like Ridlon, are variable and Waddell expects the fee to be negotiated by the agent and the client. Despite whether the fees charged were fixed or negotiable, when Ridlon engaged in financial planning for clients, he was operating as an investment adviser to those clients. As such, Ridlon was a fiduciary to those clients and had a duty to act primarily for their benefit.
4. Based on its investigation, the Bureau determined that Ridlon engaged in a scheme to defraud up to two hundred and eight (208) clients of millions of dollars over a period of at least eight (8) years by deceiving those clients into believing that they were required to pay an annual fee for management of their accounts when in reality Ridlon was having them sign up for unnecessary optional financial planning.
 - a. Nearly every client that the Bureau interviewed was lead to believe that the financial planning contract they signed each year, known as the Financial Planning Services Agreement (hereinafter "FPSA"): 1) was required; 2) was primarily for Ridlon to continue managing their accounts; and 3) that the fee charged was based on a

percentage of the value of their accounts as calculated by Ridlon. As for the financial planning booklets they received each year, these clients believed that the financial planning products, although unwanted, were an ancillary benefit of the annual fee and not something they could opt out of. Many of Ridlon's clients assert that they had no need for extensive financial planning year after year, to which they attached little to no value, but only paid the fee because they were lead to believe that it was required if they wanted to keep their accounts with Waddell. Not only did these clients neither want nor need such extensive financial planning services but the high frequency with which Ridlon sold these unnecessary services to his clients is wholly improper.

b. Many of Ridlon's clients assert that they would not have paid for these financial planning services as a separate fee if given the option. These clients also assert that they simply paid what they thought was their required annual fee for continued management of their accounts which they believed was calculated by Ridlon and was non-negotiable. Some of these clients were lead to believe that this was the only fee they paid Ridlon despite the fact that they were already paying significant commissions and other 12b-1 service fees.

c. Many of Ridlon's clients assert that they were never shown the first three pages of the five-page FPSA and that they were never provided with Waddell's Form ADV for Financial Planning, as required.

5. Attached as Exhibit A is a chart containing all the financial planning fees paid by over two hundred (200) of Ridlon's clients from 2007 through 2016. During this period, Ridlon's clients executed approximately 1,294 FPSAs with corresponding fees totaling over three million dollars (\$3,000,000) split between Ridlon and Waddell (See Exhibit A). It's significant to note that most of Ridlon's clients appearing on Exhibit A signed their FPSA and paid their "optional" financial planning fee disguised as a required annual fee on the same month, or nearly the same month, year after year for several consecutive years. The Bureau asserts that timing of the execution of the FPSA and payment of the corresponding fee

support the fact that these clients believed that they were paying a required annual fee.

6. Additionally, during the course of the Bureau's investigation, the Bureau noted certain deficiencies in Waddell's supervision of Ridlon. On December 5, 2016 the Bureau entered into a Consent Order with Waddell whereby Waddell, without admitting or denying the facts or allegations, refunded over two million dollars (\$2,000,000) in financial planning fees to Ridlon's clients, paid a three hundred thousand dollar (\$300,000) fine, paid three hundred thousand dollars (\$300,000) in costs to the Bureau, and contributed three hundred thousand dollars (\$300,000) to the Bureau's investor education fund. Waddell also agreed to make significant enhancements to its supervision of the financial planning conducted by its investment advisor representatives, some of which were already underway before the Bureau's investigation. These enhancements included transitioning of financial planning supervision from local supervisors to a financial planning supervision unit at Waddell's principal office in Overland Park, Kansas, as well as implementation of a new system for the submission, review, and approval of FPSAs, and certain revisions to the FPSA.

7. Initially, Ridlon cooperated with the Bureau's investigation and provided sworn testimony to the Bureau on March 10, 2016. Much of this testimony pertained to the issues raised by the original complainant as the Bureau had yet to uncover the widespread fraud Ridlon had perpetrated on most of his clients. After interviewing eighty (80) of Ridlon's clients and after discovering an alarming pattern of misrepresentations and other fraudulent conduct, the Bureau sought additional testimony from Ridlon in early 2017, however, Ridlon refused to cooperate. On January 18, 2017, pursuant to a subpoena from the Bureau, Ridlon appeared before the Bureau for sworn testimony but refused to answer the Bureau's questions apart from asserting his right against self-incrimination under the State and Federal Constitutions. Some of the questions asked were as follows:
 - a. When asked whether he lead any of his clients to believe that they were required to pay an annual fee for account management, Ridlon refused to answer the question and asserted his right against self-incrimination under the State and Federal Constitutions.

- b. When asked whether he told clients that the financial planning fees were mandatory and based on a percentage of their account value, Ridlon refused to answer the question and asserted his right against self-incrimination under the State and Federal Constitutions.
- c. When asked whether the financial planning services he provided to his clients were unnecessary based on their needs and circumstances, Ridlon refused to answer the question and asserted his right against self-incrimination under the State and Federal Constitutions.
- d. When asked whether he failed to provide the first three pages of the FPSA to clients, Ridlon refused to answer the question and asserted his right against self-incrimination under the State and Federal Constitutions.
- e. When asked whether he failed to provide the financial planning ADV to clients, Ridlon refused to answer the question and asserted his right against self-incrimination under the State and Federal Constitutions.

STATEMENTS OF LAW

II. The Bureau hereby petitions the Director and makes the following statement of law under the New Hampshire Revised Statutes Annotated, N.H. RSA 421-B:

- 1. Ridlon is a “person” within the meaning of N.H. RSA 421-B:1-102(39) (formerly N.H. RSA 421-B:2, XVI).
- 2. For the entirety of the violative conduct described herein, Ridlon was an investment adviser representative of Waddell within the meaning of N.H. RSA 421-B:1-102(27) (formerly N.H. RSA 421-B:2, IX-a). All of the “financial planning services” fraudulently sold by Ridlon as

outlined herein were sold by Ridlon in his capacity as an investment adviser representative of Waddell.

3. Pursuant to N.H. RSA 421-B:5-502(a) (formerly N.H. RSA 421-B:4), it is unlawful for any person that advises others for compensation, either directly or indirectly or through publications or writings, as to the value of securities or the advisability of investing in, purchasing, or selling securities or that, for compensation and as part of a regular business, issues or promulgates analyses or reports relating to securities: 1) to employ a device, scheme, or artifice to defraud another person; or 2) to engage in an act, practice, or course of business that operates or would operate as a fraud or deceit upon another person. Ridlon is subject to this provision and employed a scheme to defraud many of his clients by misleading them into purchasing optional and unnecessary financial planning services by misrepresenting that the fees charged were required and by failing to disclose the true nature of those fees. Additionally, these misrepresentations coupled with the high frequency with which Ridlon sold his unwitting clients extensive and excessive financial planning services operated as a fraud and deceit on those clients.
4. Pursuant to N.H. RSA 421-B:6-604(a) (formerly N.H. RSA 421-B:23, I(a)), whenever it appears to the secretary of state that any person has engaged or is about to engage in any act or practice constituting a violation of this chapter or any rule under this chapter, he shall have the power to issue and cause to be served upon such person an order requiring the person to cease and desist from violations of this chapter. Ridlon is subject to this provision.
5. Pursuant to N.H. RSA 421-B:6-604(d) (formerly N.H. RSA 421-B:26, III), in a final order, the Secretary of State may, in addition to any bar, suspension, revocation or denial of any registration or license, may impose a civil penalty not to exceed \$2,500 for a single violation. Ridlon is subject to this provision and should be permanently barred from licensure. Additionally, Ridlon should be subject to a fine of \$2,500 for every fraudulently obtained financial planning fee as determined by the hearing officer. The Bureau will establish that

Ridlon's clients were deceived by Ridlon into executing up to 1,294 FPSA's, which equates to a fine of up to \$3,235,000.

6. Pursuant to N.H. RSA 421-B:6-604(e) (formerly N.H. RSA 421-B:26, V), after notice and hearing, the secretary of state may enter an order of rescission, restitution, or disgorgement directed to a person who has violated certain provisions of N.H. RSA 421-B. Ridlon is subject to this provision. Based on the fees paid by clients as outlined in Exhibit A and after offsetting the recovery from Waddell as part of the Consent Order discussed above, the Bureau believes that Ridlon should be ordered to pay up to \$1,343,427.20 in restitution to his clients and disgorge up to \$1,513,711.09 in ill-gotten gains.
7. Pursuant to N.H. RSA 6-604(g) (formerly N.H. RSA 421-B:22, IV), in any investigation to determine whether any person has violated or is about to violate this title or any rule or order under this title, upon the secretary of state's prevailing at hearing, or the person charged with the violation being found in default, or pursuant to a consent order issued by the secretary of state, the secretary of state shall be entitled to recover the costs of the investigation, and any related proceedings, including reasonable attorney's fees, in addition to any other penalty provided for under this chapter. Ridlon is subject to this provision and should be ordered to pay the Bureau's costs of two hundred thousand dollars (\$200,000).

RELIEF REQUESTED

III. The Bureau makes the following requests for relief in the above-referenced matter as permitted under N.H. RSA 421-B:

1. Find as Fact the statements contained in Section I, the Statement of Facts.
2. Make conclusions of law relative to the statements contained in Section II, the Statements of Law.
3. Pursuant to N.H. RSA 421-B:6-604(a) (formerly N.H. RSA 421-B:23, I(a)), order Ridlon to

immediately cease and desist from further violations of N.H. RSA 421-B.

4. Pursuant to N.H. RSA 421-B:6-604(d) (formerly N.H. RSA 421-B:26, III), order Ridlon pay an administrative fine in the amount of up to \$3,235,000.
5. Pursuant to N.H. RSA 421-B:6-604(e) (formerly N.H. RSA 421-B:26, V), order Ridlon pay restitution in the amount of up to \$1,343,427.20.
6. Pursuant to N.H. RSA 421-B:6-604(e) (formerly N.H. RSA 421-B:26, V), order Ridlon to disgorge in the amount of up to \$1,513,711.09.
7. Pursuant to N.H. RSA 421-B:6-604(d) (formerly N.H. RSA 421-B:26, III), order Rildon be permanently barred from licensure in any capacity under N.H. RSA 421-B.
8. Pursuant to N.H. RSA 6-604(g) (formerly N.H. RSA 421-B:22, IV), order Ridlon pay the Bureau's costs of investigation and enforcement in the amount of \$200,000.

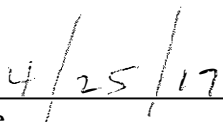
RIGHT TO AMEND

The Bureau staff reserves the right to amend this Petition for Relief and to request that the Director of the Bureau take additional administrative action. Nothing herein shall preclude the Staff from bringing additional enforcement action under this N.H. RSA 421-B or the statutory provisions thereunder.

Respectfully submitted by:




Adrian S. LaRoche, Staff Attorney



Date



Eric A. Forcier, Staff Attorney



Date

EXHIBIT A

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 1 | 5/17/2010 | FOCUSPlan | \$1,700.00 | 11/2/2010 | 66PTNVA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 1 | 5/16/2011 | Investment Planning | \$1,975.00 | 10/27/2011 | 6GFGKCA0 | \$ 1,738.00 | \$ 790.00 | \$ 948.00 |
| Investor 1 | 5/14/2012 | Investment Planning | \$1,850.00 | 11/9/2012 | 6P3LGWA0 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 1 | 5/15/2013 | FOCUSPlan | \$1,900.00 | 10/21/2013 | 762U2VA0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 1 | 5/14/2014 | Investment Planning | \$400.00 | 11/5/2014 | 7J0RYKA0 | \$ 300.00 | \$ 160.00 | \$ 140.00 |
| Investor 1 | 5/11/2015 | Investment Planning | \$400.00 | 9/11/2015 | 7XJCFGA0 | \$ 290.00 | \$ 160.00 | \$ 130.00 |
| Investor 1 | 5/31/2007 | Strategy Other | \$1,600.00 | 11/30/2007 | 14995901 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 1 | 5/7/2008 | FOCUSPlan Other | \$1,950.00 | 11/18/2008 | 16293901 | \$ 1,716.00 | \$ 780.00 | \$ 936.00 |
| Investor 1 | 5/21/2009 | Investment Planning | \$1,450.00 | 10/13/2009 | 17552201 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| | | | \$13,225.00 | | | | | |
| Investor 2 | 11/13/2009 | Start-up | \$550.00 | 5/10/2010 | 62GXQ9A0 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 2 | 11/12/2010 | Investment Planning | \$650.00 | 2/24/2011 | 6CV10NA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 2 | 11/11/2011 | Investment Planning | \$800.00 | 5/7/2012 | 6M7RYQA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 2 | 11/9/2012 | Investment Planning | \$950.00 | 4/26/2013 | 70CURHA0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 2 | 11/1/2013 | Investment Planning | \$950.00 | 3/11/2014 | 7ER8Y9A0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 2 | 10/24/2014 | Investment Planning | \$950.00 | 4/17/2015 | 7QCF99A0 | \$ 712.50 | \$ 380.00 | \$ 332.50 |
| Investor 2 | 10/30/2015 | Investment Planning | \$1,025.00 | 4/25/2016 | 86PA23A0 | \$ 743.13 | \$ 410.00 | \$ 333.13 |
| Investor 2 | 11/26/2007 | Strategy Other | \$600.00 | 5/29/2008 | 15666601 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 2 | 11/14/2008 | Strategy Other | \$700.00 | 5/11/2009 | 16923001 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| | | | \$7,175.00 | | | | | |
| Investor 3 | 5/19/2014 | FOCUSPlan | \$1,550.00 | 11/18/2014 | 7J9FMA0 | \$ 1,162.50 | \$ 620.00 | \$ 542.50 |
| Investor 3 | 5/18/2015 | Investment Planning | \$1,450.00 | 10/30/2015 | 7XMCQJA0 | \$ 1,051.25 | \$ 580.00 | \$ 471.25 |
| | | | \$3,000.00 | | | | | |
| Investor 4 | 1/6/2010 | Investment Planning | \$1,160.00 | 6/1/2010 | 63L717A0 | \$ 1,020.80 | \$ 464.00 | \$ 556.80 |
| Investor 4 | 1/5/2011 | Investment Planning | \$1,350.00 | 5/24/2011 | 6DWOB8A0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 4 | 1/10/2012 | Investment Planning | \$1,250.00 | 6/21/2012 | 6N37JUA0 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 4 | 1/15/2013 | Investment Planning | \$1,250.00 | 6/20/2013 | 72P0M9A0 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 4 | 1/9/2007 | Strategy Other | \$900.00 | 3/14/2007 | 14403101 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 4 | 1/14/2008 | Strategy Other | \$1,200.00 | 2/8/2008 | 15845201 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 4 | 1/16/2009 | Investment Planning | \$1,000.00 | 7/6/2009 | 17111101 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$8,110.00 | | | | | |
| Investor 5 | 3/31/2010 | Investment Planning | \$1,500.00 | 8/3/2010 | 65LD4KA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 5 | 4/4/2011 | Investment Planning | \$1,500.00 | 9/27/2011 | 6FPRS8A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 5 | 3/31/2012 | Investment Planning | \$1,900.00 | 9/28/2012 | 6OHVX8A0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 5 | 3/12/2013 | Investment Planning | \$1,700.00 | 8/1/2013 | 73W2LZA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 5 | 4/4/2014 | Investment Planning | \$1,300.00 | 9/11/2014 | 7IYGIOA0 | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 5 | 3/24/2015 | Investment Planning | \$1,050.00 | 7/20/2015 | 7VF20VA0 | \$ 761.25 | \$ 420.00 | \$ 341.25 |
| Investor 5 | 4/4/2011 | Wealth Forecasting | \$775.00 | 9/27/2011 | 6FPRS8A0 | \$ 682.00 | \$ 310.00 | \$ 372.00 |
| Investor 5 | 3/31/2010 | Wealth Forecasting | \$675.00 | 8/3/2010 | 65LD4KA0 | \$ 594.00 | \$ 270.00 | \$ 324.00 |
| Investor 5 | 3/27/2007 | Strategy Other | \$2,500.00 | 9/24/2007 | 14738101 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 5 | 4/7/2008 | FOCUSPlan Other | \$1,200.00 | 10/9/2008 | 16182701 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 5 | 4/7/2008 | Strategy Other | \$1,500.00 | 10/9/2008 | 16182701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 5 | 4/4/2009 | Investment Planning | \$1,000.00 | 9/21/2009 | 17404801 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 5 | 4/4/2009 | Wealth Forecasting | \$975.00 | 9/21/2009 | 17404801 | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| | | | \$17,575.00 | | | | | |
| Investor 6 | 10/7/2009 | Investment Planning | \$1,200.00 | 3/4/2010 | 61OD0GA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 6 | 10/18/2010 | Investment Planning | \$1,300.00 | 4/19/2011 | 6CB2ZPA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 6 | 10/31/2012 | Investment Planning | \$1,500.00 | 4/26/2013 | 7062K3A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 6 | 10/17/2013 | FOCUSPlan | \$1,825.00 | 2/28/2014 | 7EHJ80A0 | \$ 1,606.00 | \$ 730.00 | \$ 876.00 |
| Investor 6 | 10/20/2014 | FOCUSPlan | \$1,850.00 | 4/17/2015 | 7PU9SUA0 | \$ 1,387.50 | \$ 740.00 | \$ 647.50 |
| Investor 6 | 10/17/2011 | Investment Planning | \$1,500.00 | | 8AR5OJA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 6 | 10/20/2015 | FOCUSPlan | \$1,640.00 | 4/14/2016 | 8673ROA0 | \$ 1,189.00 | \$ 656.00 | \$ 533.00 |
| Investor 6 | 10/20/2015 | Investment Planning | \$1,000.00 | 4/14/2016 | 8673ROA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 6 | 5/20/2016 | Wealth Forecasting | \$900.00 | 5/23/2016 | 8AR5OJA0 | \$ 630.00 | \$ 360.00 | \$ 270.00 |
| Investor 6 | 10/20/2014 | Investment Planning | \$1,000.00 | 4/17/2015 | 7PU9SUA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 6 | 10/31/2012 | Wealth Forecasting | \$600.00 | 4/26/2013 | 7062K3A0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 6 | 10/18/2010 | Wealth Forecasting | \$1,000.00 | 4/19/2011 | 6CB2ZPA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 6 | 10/23/2007 | Strategy Other | \$1,200.00 | 5/1/2008 | 15532701 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 6 | 10/17/2008 | Strategy Other | \$1,500.00 | 4/23/2009 | 16830701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$18,015.00 | | | | | |
| Investor 7 | 7/30/2012 | FOCUSPlan | \$1,500.00 | 1/21/2013 | 6W0EJFA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 7 | 9/19/2013 | FOCUSPlan | \$2,300.00 | 1/28/2014 | 7E3WURA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 7 | 9/30/2014 | FOCUSPlan | \$2,000.00 | 3/9/2015 | 7OKRDTA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 7 | 9/10/2015 | FOCUSPlan | \$2,000.00 | 3/1/2016 | 84HYMA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 7 | 9/10/2015 | Investment Planning | \$1,100.00 | 3/1/2016 | 84HYMA0 | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 7 | 9/30/2014 | Investment Planning | \$1,050.00 | 3/9/2015 | 7OKRDTA0 | \$ 787.50 | \$ 420.00 | \$ 367.50 |
| Investor 7 | 7/30/2012 | Investment Planning | \$1,100.00 | 1/21/2013 | 6W0EJFA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 7 | 9/30/2014 | Wealth Forecasting | \$1,000.00 | 3/9/2015 | 7OKRDTA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 7 | 9/10/2015 | Wealth Forecasting | \$1,000.00 | 3/1/2016 | 84HYMA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| | | | \$13,050.00 | | | | | |
| Investor 8 | 8/17/2009 | FOCUSPlan | \$2,000.00 | 12/28/2009 | 60LDO6A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 8 | 10/19/2010 | FOCUSPlan | \$2,000.00 | 12/27/2010 | 6CD4AOA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 8 | 9/26/2011 | FOCUSPlan | \$3,000.00 | 3/26/2012 | 6LEQDWA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 8 | 9/14/2012 | FOCUSPlan | \$3,000.00 | 3/15/2013 | 6X3SRUA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 8 | 9/20/2013 | FOCUSPlan | \$3,000.00 | 1/28/2014 | 7DM8DPA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 8 | 9/16/2014 | FOCUSPlan | \$2,500.00 | 3/19/2015 | 7NF37VA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 8 | 9/16/2014 | Investment Planning | \$1,300.00 | 3/19/2015 | 7NF37VA0 | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 8 | 9/20/2013 | Investment Planning | \$1,750.00 | 1/28/2014 | 7DM8DPA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 8 | 9/14/2012 | Investment Planning | \$1,800.00 | 3/15/2013 | 6X3SRUA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 8 | 9/26/2011 | Investment Planning | \$2,500.00 | 3/26/2012 | 6LEQDWA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 8 | 10/19/2010 | Investment Planning | \$1,500.00 | 12/27/2010 | 6CD4AOA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 8 | 8/17/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 60LDO6A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 8 | 8/17/2009 | Wealth Forecasting | \$1,000.00 | 12/28/2009 | 60LDO6A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 8 | 10/19/2010 | Wealth Forecasting | \$1,000.00 | 12/27/2010 | 6CD4AOA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 8 | 9/26/2011 | Wealth Forecasting | \$1,000.00 | 3/26/2012 | 6LEQDWA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 8 | 9/14/2012 | Wealth Forecasting | \$1,000.00 | 3/15/2013 | 6X3SRUA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 8 | 9/20/2013 | Wealth Forecasting | \$1,000.00 | 1/28/2014 | 7DM8DPA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 8 | 9/16/2014 | Wealth Forecasting | \$900.00 | 3/19/2015 | 7NF37VA0 | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 8 | 9/16/2014 | Estate Planning | \$600.00 | 3/19/2015 | 7NF37VA0 | \$ 450.00 | \$ 240.00 | \$ 210.00 |
| Investor 8 | 9/20/2013 | Estate Planning | \$100.00 | 1/28/2014 | 7DM8DPA0 | \$ 88.00 | \$ 40.00 | \$ 48.00 |
| Investor 8 | 9/14/2012 | Estate Planning | \$100.00 | 3/15/2013 | 6X3SRUA0 | \$ 88.00 | \$ 40.00 | \$ 48.00 |
| Investor 8 | 9/26/2011 | Estate Planning | \$100.00 | 3/26/2012 | 6LEQDWA0 | \$ 88.00 | \$ 40.00 | \$ 48.00 |
| Investor 8 | 10/19/2010 | Estate Planning | \$1,550.00 | 12/27/2010 | 6CD4AOA0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 8 | 8/17/2009 | Estate Planning | \$800.00 | 12/28/2009 | 60LDO6A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 8 | 8/15/2007 | Strategy Other | \$2,500.00 | 2/7/2008 | 15272901 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 8 | 8/26/2008 | FOCUSPlan Other | \$3,550.00 | 12/29/2008 | 16666001 | \$ 3,124.00 | \$ 1,420.00 | \$ 1,704.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| | | | \$41,050.00 | | | | | |
| Investor 9 | 12/16/2009 | Investment Planning | \$715.00 | 5/19/2010 | 63AUEMA0 | \$ 629.20 | \$ 286.00 | \$ 343.20 |
| Investor 9 | 2/13/2012 | Investment Planning | \$885.00 | 8/2/2012 | 6NOW8JA0 | \$ 778.80 | \$ 354.00 | \$ 424.80 |
| Investor 9 | 12/19/2012 | Investment Planning | \$885.00 | 6/13/2013 | 72AEF9A0 | \$ 778.80 | \$ 354.00 | \$ 424.80 |
| Investor 9 | 12/23/2013 | Investment Planning | \$825.00 | 6/5/2014 | 7GHZ4FA0 | \$ 726.00 | \$ 330.00 | \$ 396.00 |
| Investor 9 | 12/9/2014 | Investment Planning | \$525.00 | 4/29/2015 | 7588X2A0 | \$ 393.75 | \$ 210.00 | \$ 183.75 |
| Investor 9 | 12/8/2015 | Investment Planning | \$525.00 | 5/9/2016 | 88BH5NA0 | \$ 380.63 | \$ 210.00 | \$ 170.63 |
| Investor 9 | 12/30/2008 | Strategy Other | \$800.00 | 6/29/2009 | 17061801 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$5,160.00 | | | | | |
| Investor 10 | 10/15/2009 | Investment Planning | \$1,500.00 | 1/20/2010 | 61XO3GA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 10 | 10/28/2010 | Investment Planning | \$1,500.00 | 4/19/2011 | 6CI1H5A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 10 | 11/7/2011 | Investment Planning | \$1,600.00 | 2/29/2012 | 6M5ULNA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 10 | 10/16/2012 | FOCUSPlan | \$2,000.00 | 4/4/2013 | 6ZXP79A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 10 | 10/28/2013 | FOCUSPlan | \$2,400.00 | 4/20/2014 | 7EN4IDA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 10 | 10/30/2014 | FOCUSPlan | \$2,000.00 | 2/13/2015 | 7QEWR4A0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 10 | 10/12/2015 | Investment Planning | \$2,500.00 | 2/5/2016 | 8SVPZ4A0 | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 10 | 10/30/2014 | Investment Planning | \$850.00 | 2/13/2015 | 7QEWR4A0 | \$ 637.50 | \$ 340.00 | \$ 297.50 |
| Investor 10 | 10/28/2013 | Investment Planning | \$1,000.00 | 4/20/2014 | 7EN4IDA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 10 | 10/16/2012 | Investment Planning | \$1,200.00 | 4/4/2013 | 6ZXP79A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 10 | 11/7/2011 | Wealth Forecasting | \$1,000.00 | 2/29/2012 | 6M5ULNA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 10 | 10/28/2010 | Wealth Forecasting | \$1,000.00 | 4/19/2011 | 6CI1H5A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 10 | 10/15/2009 | Wealth Forecasting | \$1,000.00 | 1/20/2010 | 61XO3GA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 10 | 10/15/2009 | Estate Planning | \$1,800.00 | 1/20/2010 | 61XO3GA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 10 | 10/28/2010 | Estate Planning | \$1,800.00 | 4/19/2011 | 6CI1H5A0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 10 | 11/7/2011 | Estate Planning | \$1,800.00 | 2/29/2012 | 6M5ULNA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 10 | 10/16/2012 | Wealth Forecasting | \$573.00 | 4/4/2013 | 6ZXP79A0 | \$ 504.24 | \$ 229.20 | \$ 275.04 |
| Investor 10 | 10/30/2008 | FOCUSPlan Other | \$2,000.00 | 3/4/2009 | 16889101 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 10 | 10/30/2008 | Strategy Other | \$3,300.00 | 3/4/2009 | 16889101 | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| | | | \$30,823.00 | | | | | |
| Investor 11 | 3/24/2010 | FOCUSPlan | \$1,770.00 | 7/26/2010 | 65KAQXA0 | \$ 1,557.60 | \$ 708.00 | \$ 849.60 |
| Investor 11 | 4/11/2011 | Investment Planning | \$2,430.00 | 7/6/2011 | 6FR9M2A0 | \$ 2,138.40 | \$ 972.00 | \$ 1,166.40 |
| Investor 11 | 4/16/2012 | Investment Planning | \$2,200.00 | 10/8/2012 | 6OY5ZEA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 11 | 4/12/2013 | Investment Planning | \$2,200.00 | 9/12/2013 | 752SRWA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 11 | 6/23/2014 | Investment Planning | \$2,000.00 | 12/16/2014 | 7KFQQ2A0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 11 | 7/8/2015 | Investment Planning | \$1,900.00 | 9/24/2015 | 7ZY7RZA0 | \$ 1,377.50 | \$ 760.00 | \$ 617.50 |
| | | | \$12,500.00 | | | | | |
| Investor 12 | 9/14/2009 | Investment Planning | \$1,100.00 | 12/28/2009 | 62AGH3A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 12 | 10/7/2011 | Tax-Sensitive | \$3,500.00 | 3/23/2012 | 6LLWHLA0 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 12 | 10/5/2012 | Tax-Sensitive | \$2,500.00 | 3/28/2013 | 72IV75A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 12 | 9/5/2013 | Tax-Sensitive | \$2,500.00 | 1/27/2014 | 7E3WWAA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 12 | 9/11/2014 | FOCUSPlan | \$2,000.00 | 3/9/2015 | 7NCZUGA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 12 | 9/10/2015 | FOCUSPlan | \$2,000.00 | 12/10/2015 | 84AF2PA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 12 | 9/10/2015 | Investment Planning | \$1,800.00 | 12/10/2015 | 84AF2PA0 | \$ 1,305.00 | \$ 720.00 | \$ 585.00 |
| Investor 12 | 9/11/2014 | Investment Planning | \$2,200.00 | 3/9/2015 | 7NCZUGA0 | \$ 1,650.00 | \$ 880.00 | \$ 770.00 |
| Investor 12 | 9/5/2013 | Investment Planning | \$2,500.00 | 1/27/2014 | 7E3WWAA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 12 | 10/5/2012 | Investment Planning | \$2,500.00 | 3/28/2013 | 72IV75A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 12 | 10/7/2011 | Investment Planning | \$2,500.00 | 3/23/2012 | 6LLWHLA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 12 | 10/20/2010 | Investment Planning | \$1,500.00 | 4/1/2011 | 6CC3EVA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|-------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 12 | 9/14/2009 | Estate Planning | \$1,100.00 | 12/28/2009 | 62A6H3A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 12 | 10/20/2010 | Detailed Cash Flow | \$4,000.00 | 4/1/2011 | 6CC3EVA0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 12 | 10/7/2011 | Wealth Forecasting | \$1,000.00 | 3/23/2012 | 6LLWHLA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 12 | 10/5/2012 | Wealth Forecasting | \$1,000.00 | 3/28/2013 | 72IV75A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 12 | 9/5/2013 | Wealth Forecasting | \$1,000.00 | 1/27/2014 | 7E3WWAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 12 | 9/11/2014 | Wealth Forecasting | \$1,000.00 | 3/9/2015 | 7NCZUGA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 12 | 9/10/2015 | Wealth Forecasting | \$1,000.00 | 12/10/2015 | 84AF2PA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 12 | 9/10/2015 | Estate Planning | \$1,600.00 | 12/10/2015 | 84AF2PA0 | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 12 | 9/11/2014 | Estate Planning | \$2,000.00 | 3/9/2015 | 7NCZUGA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 12 | 9/5/2013 | Estate Planning | \$2,000.00 | 1/27/2014 | 7E3WWAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 12 | 10/5/2012 | Estate Planning | \$2,000.00 | 3/28/2013 | 72IV75A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 12 | 10/7/2011 | Estate Planning | \$2,000.00 | 3/23/2012 | 6LLWHLA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 12 | 10/20/2010 | Wealth Forecasting | \$1,000.00 | 4/1/2011 | 6CC3EVA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 12 | 10/20/2010 | Estate Planning | \$2,000.00 | 4/1/2011 | 6CC3EVA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 12 | 9/28/2007 | Strategy Other | \$2,700.00 | 3/28/2008 | 15441801 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| Investor 12 | 11/12/2008 | FOCUSPlan Other | \$2,000.00 | 3/4/2009 | 16911201 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 12 | 11/12/2008 | Strategy Other | \$1,100.00 | 3/4/2009 | 16911201 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| | | | \$55,100.00 | | | | | |
| Investor 13 | 8/12/2009 | Investment Planning | \$850.00 | 12/28/2009 | 60GO05A0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 13 | 8/11/2010 | Investment Planning | \$900.00 | 12/9/2010 | 68TBOIA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 13 | 8/9/2011 | Investment Planning | \$850.00 | 11/22/2011 | 6KLO9XA0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 13 | 8/7/2012 | Investment Planning | \$850.00 | 12/18/2012 | 6WF5PBA0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 13 | 8/6/2013 | Investment Planning | \$400.00 | 1/22/2014 | 79J9P7A0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 13 | 8/7/2014 | Investment Planning | \$400.00 | 12/1/2014 | 7LSMK3A0 | \$ 300.00 | \$ 160.00 | \$ 140.00 |
| Investor 13 | 8/9/2007 | Strategy Other | \$1,000.00 | 2/8/2008 | 15247301 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 13 | 8/27/2008 | Strategy Other | \$1,100.00 | 12/29/2008 | 16657001 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| | | | \$6,350.00 | | | | | |
| Investor 14 | 8/3/2009 | Investment Planning | \$1,500.00 | 11/30/2009 | 609E3YA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 14 | 7/20/2010 | Investment Planning | \$1,500.00 | 1/19/2011 | 67XEPSA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 14 | 7/5/2011 | Investment Planning | \$1,500.00 | 12/29/2011 | 6HI3CQA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 14 | 7/5/2012 | Investment Planning | \$2,200.00 | 12/3/2012 | 6T7AGGA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 14 | 7/29/2013 | Investment Planning | \$2,000.00 | 1/22/2014 | 79DTMAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 14 | 7/22/2014 | Investment Planning | \$1,600.00 | 1/15/2015 | 7LO6UCA0 | \$ 1,200.00 | \$ 640.00 | \$ 560.00 |
| Investor 14 | 7/14/2015 | Investment Planning | \$1,400.00 | 1/12/2016 | 808YP8A0 | \$ 1,015.00 | \$ 560.00 | \$ 455.00 |
| Investor 14 | 7/5/2011 | Wealth Forecasting | \$1,000.00 | 12/29/2011 | 6HI3CQA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 14 | 7/20/2010 | Wealth Forecasting | \$500.00 | 1/19/2011 | 67XEPSA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 14 | 8/3/2009 | Wealth Forecasting | \$800.00 | 11/30/2009 | 609E3YA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 14 | 7/20/2010 | Estate Planning | \$600.00 | 1/19/2011 | 67XEPSA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 14 | 8/14/2007 | Strategy Other | \$2,500.00 | 2/14/2008 | 15272101 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 14 | 8/5/2008 | Strategy Other | \$2,950.00 | 2/4/2009 | 16577801 | \$ 2,596.00 | \$ 1,180.00 | \$ 1,416.00 |
| | | | \$20,050.00 | | | | | |
| Investor 15 | 6/3/2010 | Investment Planning | \$400.00 | 10/5/2010 | 6719KFA0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 15 | 6/14/2011 | Investment Planning | \$900.00 | 9/16/2011 | 6H9BJ8A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 15 | 6/29/2012 | Investment Planning | \$900.00 | 11/26/2012 | 6SL8FSA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 15 | 6/12/2013 | Investment Planning | \$900.00 | 11/18/2013 | 76YNVCA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 15 | 6/12/2014 | Investment Planning | \$900.00 | 10/2/2014 | 7JFX3LA0 | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 15 | 6/11/2015 | Investment Planning | \$900.00 | 9/18/2015 | 7YAR0BA0 | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 15 | 6/3/2010 | Wealth Forecasting | \$500.00 | 10/5/2010 | 6719KFA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 15 | 6/11/2007 | Strategy Other | \$900.00 | 12/13/2007 | 15038601 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 15 | 6/11/2008 | FOCUSPlan Other | \$500.00 | 9/16/2008 | 16404601 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 15 | 6/11/2008 | Strategy Other | \$400.00 | 9/16/2008 | 16404601 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 15 | 6/5/2009 | Investment Planning | \$900.00 | 10/13/2009 | 17581402 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$8,100.00 | | | | | |
| Investor 16 | 5/3/2011 | FOCUSPlan | \$1,200.00 | 10/13/2011 | 6G7K3JA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 16 | 4/25/2012 | FOCUSPlan | \$1,200.00 | 10/15/2012 | 6OZDSKA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 16 | 4/11/2013 | FOCUSPlan | \$2,475.00 | 9/12/2013 | 753LGQA0 | \$ 2,178.00 | \$ 990.00 | \$ 1,188.00 |
| Investor 16 | 4/10/2014 | FOCUSPlan | \$2,160.00 | 7/23/2014 | 7ILSTBA0 | \$ 1,620.00 | \$ 864.00 | \$ 756.00 |
| Investor 16 | 4/9/2015 | FOCUSPlan | \$2,150.00 | 7/2/2015 | 7VZC98A0 | \$ 1,558.75 | \$ 860.00 | \$ 698.75 |
| Investor 16 | 4/22/2016 | Investment Planning | \$2,400.00 | 7/8/2016 | 8AG2MIA0 | \$ 1,680.00 | \$ 960.00 | \$ 720.00 |
| Investor 16 | 4/22/2016 | Wealth Forecasting | \$1,000.00 | 7/8/2016 | 8AG2MIA0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| Investor 16 | 4/9/2015 | Investment Planning | \$1,500.00 | 7/2/2015 | 7VZC98A0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 16 | 4/10/2014 | Investment Planning | \$1,500.00 | 7/23/2014 | 7ILSTBA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 16 | 4/11/2013 | Investment Planning | \$1,500.00 | 9/12/2013 | 753LGQA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 16 | 4/25/2012 | Investment Planning | \$1,500.00 | 10/15/2012 | 6OZDSKA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$18,585.00 | | | | | |
| Investor 17 | 12/9/2015 | Investment Planning | \$000 | 6/3/2016 | 88BY4ZA0 | \$ - | \$ - | \$ - |
| | | | \$0.00 | | | | | |
| Investor 18 | 1/16/2013 | FOCUSPlan | \$800.00 | 7/3/2013 | 72POL4A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 18 | 3/5/2014 | FOCUSPlan | \$800.00 | 8/30/2014 | 7HXVVT A0 | \$ 600.00 | \$ 320.00 | \$ 280.00 |
| Investor 18 | 3/11/2015 | FOCUSPlan | \$800.00 | 6/15/2015 | 7UTSUTA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 18 | 3/7/2016 | Investment Planning | \$2,100.00 | 6/24/2016 | 89G3JQA0 | \$ 1,470.00 | \$ 840.00 | \$ 630.00 |
| Investor 18 | 3/11/2015 | Investment Planning | \$900.00 | 6/15/2015 | 7UTSUTA0 | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 18 | 3/5/2014 | Investment Planning | \$1,000.00 | 8/30/2014 | 7HXVVT A0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 18 | 3/5/2014 | Wealth Forecasting | \$740.00 | 8/30/2014 | 7HXVVT A0 | \$ 555.00 | \$ 296.00 | \$ 259.00 |
| Investor 18 | 3/11/2015 | Wealth Forecasting | \$700.00 | 6/15/2015 | 7UTSUTA0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| | | | \$7,840.00 | | | | | |
| Investor 19 | 3/4/2016 | FOCUSPlan | \$800.00 | 4/25/2016 | 89FKBHA0 | \$ 560.00 | \$ 320.00 | \$ 240.00 |
| | | | \$800.00 | | | | | |
| Investor 20 | 5/1/2012 | FOCUSPlan | \$800.00 | 10/22/2012 | 6OX759A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 21 | 1/14/2015 | FOCUSPlan | \$800.00 | 6/5/2015 | 7TQN1UA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 21 | 1/13/2016 | Investment Planning | \$500.00 | 6/24/2016 | 88XXHMA0 | \$ 350.00 | \$ 200.00 | \$ 150.00 |
| | | | \$1,300.00 | | | | | |
| Investor 22 | 5/30/2008 | FOCUSPlan Other | \$800.00 | 11/26/2008 | 16376501 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 23 | 8/6/2009 | FOCUSPlan | \$1,500.00 | 2/5/2010 | 60GONVA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 23 | 8/5/2010 | FOCUSPlan | \$1,450.00 | 11/29/2010 | 68QG09A0 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 23 | 8/4/2011 | FOCUSPlan | \$3,000.00 | 11/14/2011 | 6KXQ4A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 23 | 8/2/2012 | FOCUSPlan | \$3,000.00 | 12/27/2012 | 6WAXAIA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 23 | 8/8/2013 | FOCUSPlan | \$3,000.00 | 2/3/2014 | 79KHRUA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 23 | 8/28/2014 | FOCUSPlan | \$3,000.00 | 11/21/2014 | 7MRUQDA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 23 | 8/27/2015 | FOCUSPlan | \$3,000.00 | 12/17/2015 | 836CHBA0 | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 23 | 8/27/2015 | Investment Planning | \$1,950.00 | 12/17/2015 | 836CHBA0 | \$ 1,413.75 | \$ 780.00 | \$ 633.75 |
| Investor 23 | 8/28/2014 | Investment Planning | \$2,250.00 | 11/21/2014 | 7MRUQDA0 | \$ 1,687.50 | \$ 900.00 | \$ 787.50 |
| Investor 23 | 8/8/2013 | Investment Planning | \$2,500.00 | 2/3/2014 | 79KHRUA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 23 | 8/2/2012 | Investment Planning | \$2,100.00 | 12/27/2012 | 6WAXAIA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 23 | 8/4/2011 | Investment Planning | \$2,500.00 | 11/14/2011 | 6KKXQ4A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 23 | 8/5/2010 | Investment Planning | \$1,500.00 | 11/29/2010 | 68QG09A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 23 | 8/6/2009 | Investment Planning | \$1,500.00 | 2/5/2010 | 60GONVA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 23 | 8/6/2009 | Wealth Forecasting | \$1,000.00 | 2/5/2010 | 60GONVA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 23 | 8/5/2010 | Wealth Forecasting | \$1,000.00 | 11/29/2010 | 68QG09A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 23 | 8/4/2011 | Wealth Forecasting | \$1,000.00 | 11/14/2011 | 6KKXQ4A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 23 | 8/2/2012 | Wealth Forecasting | \$1,000.00 | 12/27/2012 | 6WAXAIA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 23 | 8/8/2013 | Wealth Forecasting | \$1,000.00 | 2/3/2014 | 79KHRUA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 23 | 8/28/2014 | Wealth Forecasting | \$1,000.00 | 11/21/2014 | 7MRUQDA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 23 | 8/27/2015 | Wealth Forecasting | \$1,000.00 | 12/17/2015 | 836CHBA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 23 | 8/27/2015 | Estate Planning | \$450.00 | 12/17/2015 | 836CHBA0 | \$ 326.25 | \$ 180.00 | \$ 146.25 |
| Investor 23 | 8/28/2014 | Estate Planning | \$450.00 | 11/21/2014 | 7MRUQDA0 | \$ 337.50 | \$ 180.00 | \$ 157.50 |
| Investor 23 | 8/8/2013 | Estate Planning | \$450.00 | 2/3/2014 | 79KHRUA0 | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 23 | 8/2/2012 | Estate Planning | \$900.00 | 12/27/2012 | 6WAXAIA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 23 | 8/4/2011 | Estate Planning | \$900.00 | 11/14/2011 | 6KKXQ4A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 23 | 8/5/2010 | Estate Planning | \$2,000.00 | 11/29/2010 | 68QG09A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 23 | 8/6/2009 | Estate Planning | \$950.00 | 2/5/2010 | 60GONVA0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 23 | 8/14/2007 | Strategy Other | \$3,850.00 | 2/12/2008 | 15271901 | \$ 3,388.00 | \$ 1,540.00 | \$ 1,848.00 |
| Investor 23 | 8/14/2007 | Select Module | \$750.00 | 2/12/2008 | 15271901 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 23 | 8/7/2008 | FOCUSPlan Other | \$1,650.00 | 12/3/2008 | 16611001 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 23 | 8/7/2008 | Strategy Other | \$4,500.00 | 12/3/2008 | 16611001 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$56,100.00 | | | | | |
| Investor 24 | 4/27/2015 | Start-up | \$300.00 | 10/23/2015 | 7XLUSXA0 | \$ 217.50 | \$ 120.00 | \$ 97.50 |
| Investor 24 | 4/15/2016 | Investment Planning | \$500.00 | 8/23/2016 | 8AG4AMA0 | \$ 350.00 | \$ 200.00 | \$ 150.00 |
| Investor 24 | 5/18/2007 | FOCUSPlan Other | \$800.00 | 11/20/2007 | 14955601 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$1,600.00 | | | | | |
| Investor 25 | 6/6/2012 | FOCUSPlan | \$750.00 | 12/4/2012 | 6PIUVKA0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 25 | 6/8/2015 | FOCUSPlan | \$1,100.00 | 12/3/2015 | 7Y93MUA0 | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| | | | \$1,850.00 | | | | | |
| Investor 26 | 9/20/2007 | Strategy Other | \$3,300.00 | 3/13/2008 | 15400401 | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| Investor 26 | 9/19/2008 | Strategy Other | \$3,900.00 | 3/23/2009 | 16730401 | \$ 3,432.00 | \$ 1,560.00 | \$ 1,872.00 |
| | | | \$7,200.00 | | | | | |
| Investor 27 | 10/20/2009 | FOCUSPlan | \$1,600.00 | 4/16/2010 | 612032A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 27 | 9/25/2010 | FOCUSPlan | \$1,800.00 | 3/24/2011 | 68YE88A0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 27 | 9/7/2011 | Investment Planning | \$1,900.00 | 2/9/2012 | 6L2WNBA0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 27 | 9/12/2012 | FOCUSPlan | \$1,750.00 | 3/11/2013 | 6X29PPA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 27 | 9/4/2013 | Investment Planning | \$1,700.00 | 1/27/2014 | 7A7TFVA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 27 | 9/10/2014 | Investment Planning | \$1,550.00 | 3/10/2015 | 7MX6ROA0 | \$ 1,162.50 | \$ 620.00 | \$ 542.50 |
| Investor 27 | 9/9/2015 | Investment Planning | \$1,500.00 | 12/8/2015 | 84CT9WA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 27 | 10/22/2007 | Strategy Other | \$1,600.00 | 4/24/2008 | 15529101 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 27 | 10/21/2008 | Strategy Other | \$2,025.00 | 4/23/2009 | 16844801 | \$ 1,782.00 | \$ 810.00 | \$ 972.00 |
| | | | \$15,425.00 | | | | | |
| Investor 28 | 7/13/2009 | Investment Planning | \$1,000.00 | 12/28/2009 | 60LDMJA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 28 | 7/12/2010 | Investment Planning | \$1,500.00 | 11/8/2010 | 68QG12A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 28 | 7/5/2011 | Investment Planning | \$1,500.00 | 11/4/2011 | 6KLOCSA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 28 | 8/28/2012 | Investment Planning | \$1,200.00 | 2/25/2013 | 6WXDTNA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 28 | 8/19/2013 | Investment Planning | \$1,000.00 | 1/22/2014 | 7AALHXA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 28 | 8/7/2014 | FOCUSPlan | \$900.00 | 2/6/2015 | 7LTEEFA0 | \$ 675.00 | \$ 360.00 | \$ 315.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 28 | 8/12/2015 | Investment Planning | \$600.00 | 1/15/2016 | 82XRXLAO | \$ 435.00 | \$ 240.00 | \$ 195.00 |
| Investor 28 | 7/13/2009 | Wealth Forecasting | \$700.00 | 12/28/2009 | 60LDMJA | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 28 | 7/30/2007 | Strategy Other | \$2,300.00 | 1/31/2008 | 15214101 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 28 | 7/7/2008 | Strategy Other | \$2,325.00 | 1/23/2009 | 16488601 | \$ 2,046.00 | \$ 930.00 | \$ 1,116.00 |
| | | | \$13,025.00 | | | | | |
| Investor 29 | 6/11/2010 | Investment Planning | \$1,300.00 | 9/28/2010 | 67BE5IAO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 29 | 6/14/2011 | Investment Planning | \$1,800.00 | 11/14/2011 | 6H56XIAO | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 29 | 6/19/2012 | FOCUSPlan | \$1,250.00 | 11/30/2012 | 6PORKOAO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 29 | 6/11/2013 | Investment Planning | \$2,400.00 | 11/18/2013 | 76YNXBAO | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 29 | 6/3/2014 | FOCUSPlan | \$3,000.00 | 10/2/2014 | 7JBVMRAO | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 29 | 6/19/2015 | FOCUSPlan | \$2,500.00 | 9/18/2015 | 72J34XAO | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 29 | 6/19/2015 | Investment Planning | \$2,100.00 | 9/18/2015 | 72J34XAO | \$ 1,522.50 | \$ 840.00 | \$ 682.50 |
| Investor 29 | 6/3/2014 | Investment Planning | \$2,100.00 | 10/2/2014 | 7JBVMRAO | \$ 1,575.00 | \$ 840.00 | \$ 735.00 |
| Investor 29 | 6/19/2012 | Investment Planning | \$900.00 | 11/30/2012 | 6PORKOAO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 29 | 6/14/2011 | Wealth Forecasting | \$800.00 | 11/14/2011 | 6H56XIAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 29 | 6/11/2010 | Wealth Forecasting | \$1,000.00 | 9/28/2010 | 67BE5IAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 29 | 6/3/2014 | Wealth Forecasting | \$1,000.00 | 10/2/2014 | 7JBVMRAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 29 | 6/19/2015 | Wealth Forecasting | \$1,000.00 | 9/18/2015 | 72J34XAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 29 | 6/27/2007 | Strategy Other | \$1,900.00 | 12/19/2007 | 15089901 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 29 | 6/11/2008 | Strategy Other | \$2,340.00 | 12/16/2008 | 16413501 | \$ 2,059.20 | \$ 936.00 | \$ 1,123.20 |
| Investor 29 | 6/23/2009 | Investment Planning | \$1,000.00 | 11/19/2009 | 17644801 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 29 | 6/23/2009 | Wealth Forecasting | \$900.00 | 11/19/2009 | 17644801 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$27,290.00 | | | | | |
| Investor 30 | 7/27/2009 | FOCUSPlan | \$800.00 | 1/22/2010 | 606GEEAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 31 | 7/9/2010 | FOCUSPlan | \$2,000.00 | 1/5/2011 | 67Q9FCAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 31 | 7/10/2011 | FOCUSPlan | \$2,000.00 | 12/23/2011 | 6HMGR0AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 31 | 8/1/2012 | FOCUSPlan | \$2,000.00 | 12/27/2012 | 6WA4N7AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 31 | 6/27/2013 | FOCUSPlan | \$1,500.00 | 12/10/2013 | 78TU85AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 31 | 8/12/2014 | FOCUSPlan | \$1,000.00 | 11/10/2014 | 7M3G99AO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 31 | 8/25/2015 | Investment Planning | \$1,600.00 | 11/16/2015 | 833HUGAO | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 31 | 8/12/2014 | Investment Planning | \$900.00 | 11/10/2014 | 7M3G99AO | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 31 | 6/27/2013 | Investment Planning | \$1,125.00 | 12/10/2013 | 78TU85AO | \$ 990.00 | \$ 450.00 | \$ 540.00 |
| Investor 31 | 8/1/2012 | Investment Planning | \$1,250.00 | 12/27/2012 | 6WA4N7AO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 31 | 7/10/2011 | Investment Planning | \$1,500.00 | 12/23/2011 | 6HMGR0AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 31 | 7/9/2010 | Investment Planning | \$1,500.00 | 1/5/2011 | 67Q9FCAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 31 | 7/9/2010 | Wealth Forecasting | \$1,000.00 | 1/5/2011 | 67Q9FCAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 31 | 7/10/2011 | Wealth Forecasting | \$1,000.00 | 12/23/2011 | 6HMGR0AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 31 | 7/9/2010 | Estate Planning | \$1,100.00 | 1/5/2011 | 67Q9FCAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 31 | 3/26/2007 | FOCUSPlan Other | \$2,400.00 | 9/21/2007 | 14739301 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 31 | 3/26/2007 | Strategy Other | \$2,500.00 | 9/21/2007 | 14739301 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 31 | 7/3/2008 | FOCUSPlan Other | \$2,000.00 | 1/27/2009 | 16525601 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 31 | 7/3/2008 | Strategy Other | \$3,200.00 | 1/27/2009 | 16525601 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 31 | 6/26/2009 | FOCUSPlan | \$2,000.00 | 9/21/2009 | 17659101 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 31 | 6/26/2009 | Investment Planning | \$1,500.00 | 9/21/2009 | 17659101 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 31 | 6/26/2009 | Wealth Forecasting | \$1,000.00 | 9/21/2009 | 17659101 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 31 | 6/26/2009 | Estate Planning | \$800.00 | 9/21/2009 | 17659101 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$34,875.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 32 | 2/15/2012 | Investment Planning | \$785.00 | 8/9/2012 | 6NOWEEA0 | \$ 690.80 | \$ 314.00 | \$ 376.80 |
| | | | \$785.00 | | | | | |
| Investor 33 | 9/18/2009 | Investment Planning | \$1,000.00 | 12/28/2009 | 61CSZUA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 33 | 8/31/2010 | Investment Planning | \$1,000.00 | 12/20/2010 | 6BIMWLA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 33 | 8/18/2011 | Investment Planning | \$1,200.00 | 2/13/2012 | 6KS04PA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 33 | 8/8/2012 | FOCUSPlan | \$1,960.00 | 1/21/2013 | 6WFXYFA0 | \$ 1,724.80 | \$ 784.00 | \$ 940.80 |
| Investor 33 | 8/14/2013 | Investment Planning | \$1,940.00 | 1/22/2014 | 79OHWUA0 | \$ 1,707.20 | \$ 776.00 | \$ 931.20 |
| Investor 33 | 8/14/2014 | Investment Planning | \$1,750.00 | 11/12/2014 | 7MC2VYA0 | \$ 1,312.50 | \$ 700.00 | \$ 612.50 |
| Investor 33 | 8/13/2015 | FOCUSPlan | \$1,700.00 | 2/17/2016 | 82YCHNA0 | \$ 1,232.50 | \$ 680.00 | \$ 552.50 |
| Investor 33 | 8/18/2011 | Estate Planning | \$900.00 | 2/13/2012 | 6KS04PA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 33 | 8/31/2010 | Estate Planning | \$900.00 | 12/20/2010 | 6BIMWLA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 33 | 9/18/2009 | Wealth Forecasting | \$650.00 | 12/28/2009 | 61CSZUA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 33 | 8/14/2007 | Strategy Other | \$1,700.00 | 2/8/2008 | 15271801 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 33 | 8/8/2008 | FOCUSPlan Other | \$1,000.00 | 2/9/2009 | 16611101 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 33 | 8/8/2008 | Strategy Other | \$1,100.00 | 2/9/2009 | 16611101 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| | | | \$16,800.00 | | | | | |
| Investor 34 | 10/26/2009 | FOCUSPlan | \$1,100.00 | 1/11/2010 | 624IMJA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 34 | 10/22/2010 | Investment Planning | \$1,000.00 | 1/25/2011 | 6CF549A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 34 | 12/5/2011 | Investment Planning | \$1,150.00 | 3/23/2012 | 6MIV8MA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 34 | 12/10/2012 | Investment Planning | \$1,100.00 | 5/20/2013 | 71ZYUFA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 34 | 12/16/2013 | Investment Planning | \$1,100.00 | 3/25/2014 | 7GC4UYA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 34 | 12/8/2014 | Investment Planning | \$800.00 | 3/9/2015 | 7UTSSIA0 | \$ 600.00 | \$ 320.00 | \$ 280.00 |
| Investor 34 | 12/2/2015 | Investment Planning | \$800.00 | 4/6/2016 | 88950ZA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| | | | \$7,050.00 | | | | | |
| Investor 35 | 3/19/2012 | FOCUSPlan | \$1,200.00 | 8/28/2012 | 607SRAA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 35 | 3/17/2014 | Investment Planning | \$1,450.00 | 6/9/2014 | 714XB7A0 | \$ 1,087.50 | \$ 580.00 | \$ 507.50 |
| Investor 35 | 3/16/2015 | FOCUSPlan | \$2,000.00 | 6/22/2015 | 7VC9YDA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 35 | 3/16/2016 | FOCUSPlan | \$1,800.00 | 6/10/2016 | 89VAARA0 | \$ 1,260.00 | \$ 720.00 | \$ 540.00 |
| Investor 35 | 3/16/2016 | Investment Planning | \$1,500.00 | 6/10/2016 | 89VAARA0 | \$ 1,050.00 | \$ 600.00 | \$ 450.00 |
| Investor 35 | 3/16/2015 | Investment Planning | \$1,000.00 | 6/22/2015 | 7VC9YDA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 35 | 3/16/2015 | Wealth Forecasting | \$800.00 | 6/22/2015 | 7VC9YDA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 35 | 3/16/2016 | Wealth Forecasting | \$1,000.00 | 6/10/2016 | 89VAARA0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| Investor 35 | 3/16/2016 | Estate Planning | \$1,000.00 | 6/10/2016 | 89VAARA0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| | | | \$11,750.00 | | | | | |
| Investor 36 | 5/18/2007 | Strategy Other | \$650.00 | 11/13/2007 | 14952901 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 36 | 5/8/2008 | Strategy Other | \$725.00 | 10/16/2008 | 16294501 | \$ 638.00 | \$ 290.00 | \$ 348.00 |
| | | | \$1,375.00 | | | | | |
| Investor 37 | 11/16/2009 | Investment Planning | \$400.00 | 3/4/2010 | 632F5YA0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 37 | 12/13/2010 | Investment Planning | \$425.00 | 5/16/2011 | 6DF7EEA0 | \$ 374.00 | \$ 170.00 | \$ 204.00 |
| Investor 37 | 11/30/2011 | Investment Planning | \$425.00 | 5/29/2012 | 6MESIWA0 | \$ 374.00 | \$ 170.00 | \$ 204.00 |
| Investor 37 | 11/6/2007 | Strategy Other | \$550.00 | 5/19/2008 | 15668301 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 37 | 11/24/2008 | Strategy Other | \$600.00 | 5/15/2009 | 16957601 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| | | | \$2,400.00 | | | | | |
| Investor 38 | 4/26/2010 | Investment Planning | \$1,500.00 | 9/14/2010 | 663ZXQA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 38 | 5/25/2011 | FOCUSPlan | \$1,500.00 | 8/16/2011 | 6GKU40A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 38 | 5/16/2012 | FOCUSPlan | \$1,750.00 | 11/9/2012 | 6P4F2HA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 38 | 5/22/2013 | FOCUSPlan | \$1,650.00 | 10/25/2013 | 76DBMVA0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 38 | 5/14/2014 | FOCUSPlan | \$1,600.00 | 8/2/2014 | 7J0QWOA0 | \$ 1,200.00 | \$ 640.00 | \$ 560.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 38 | 7/8/2015 | FOCUSPlan | \$1,600.00 | 10/23/2015 | 7ZYUJTA0 | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 38 | 7/8/2015 | Investment Planning | \$1,350.00 | 10/23/2015 | 7ZYUJTA0 | \$ 978.75 | \$ 540.00 | \$ 438.75 |
| Investor 38 | 5/14/2014 | Investment Planning | \$1,600.00 | 8/2/2014 | 7J0QWOA0 | \$ 1,200.00 | \$ 640.00 | \$ 560.00 |
| Investor 38 | 5/22/2013 | Investment Planning | \$1,650.00 | 10/25/2013 | 76DBMVA0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 38 | 5/16/2012 | Investment Planning | \$1,750.00 | 11/9/2012 | 6P4F2HA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 38 | 5/25/2011 | Investment Planning | \$1,500.00 | 8/16/2011 | 6GKU40A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 38 | 4/26/2010 | Wealth Forecasting | \$1,000.00 | 9/14/2010 | 663ZXQA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 38 | 4/26/2010 | Estate Planning | \$1,200.00 | 9/14/2010 | 663ZXQA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 38 | 5/25/2011 | Wealth Forecasting | \$925.00 | 8/16/2011 | 6GKU40A0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 38 | 5/10/2007 | Strategy Other | \$3,800.00 | 11/2/2007 | 14918201 | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| Investor 38 | 5/5/2008 | FOCUSPlan Other | \$2,000.00 | 8/22/2008 | 16314001 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 38 | 5/5/2008 | Strategy Other | \$2,300.00 | 8/22/2008 | 16314001 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 38 | 5/8/2009 | Investment Planning | \$1,500.00 | 10/29/2009 | 17510801 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 38 | 5/8/2009 | Wealth Forecasting | \$1,000.00 | 10/29/2009 | 17510801 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 38 | 5/8/2009 | Estate Planning | \$800.00 | 10/29/2009 | 17510801 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$31,975.00 | | | | | |
| Investor 39 | 3/23/2012 | FOCUSPlan | \$900.00 | 9/24/2012 | 6OAT7VA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 39 | 4/27/2015 | Investment Planning | \$400.00 | 9/8/2015 | 7XDD3EA0 | \$ 290.00 | \$ 160.00 | \$ 130.00 |
| | | | \$1,300.00 | | | | | |
| Investor 40 | 11/3/2009 | FOCUSPlan | \$1,100.00 | 3/4/2010 | 62FX38A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 40 | 2/8/2011 | FOCUSPlan | \$2,000.00 | 6/20/2011 | 6EJWUKA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 40 | 2/7/2012 | FOCUSPlan | \$2,000.00 | 6/22/2012 | 6NLV61A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 40 | 2/12/2013 | FOCUSPlan | \$2,500.00 | 7/18/2013 | 73CQ7ZA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 40 | 2/11/2014 | FOCUSPlan | \$2,200.00 | 5/23/2014 | 7HKNKIA0 | \$ 1,650.00 | \$ 880.00 | \$ 770.00 |
| Investor 40 | 2/11/2014 | Investment Planning | \$1,450.00 | 5/23/2014 | 7HKNKIA0 | \$ 1,087.50 | \$ 580.00 | \$ 507.50 |
| Investor 40 | 2/12/2013 | Investment Planning | \$1,450.00 | 7/18/2013 | 73CQ7ZA0 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 40 | 2/7/2012 | Investment Planning | \$1,500.00 | 6/22/2012 | 6NLV61A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 40 | 2/8/2011 | Investment Planning | \$1,500.00 | 6/20/2011 | 6EJWUKA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 40 | 2/8/2011 | Wealth Forecasting | \$1,000.00 | 6/20/2011 | 6EJWUKA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 40 | 2/7/2012 | Wealth Forecasting | \$900.00 | 6/22/2012 | 6NLV61A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 40 | 2/12/2013 | Wealth Forecasting | \$1,000.00 | 7/18/2013 | 73CQ7ZA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 40 | 2/11/2014 | Wealth Forecasting | \$1,000.00 | 5/23/2014 | 7HKNKIA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 40 | 2/8/2011 | Estate Planning | \$200.00 | 6/20/2011 | 6EJWUKA0 | \$ 176.00 | \$ 80.00 | \$ 96.00 |
| | | | \$19,800.00 | | | | | |
| Investor 41 | 12/22/2009 | Investment Planning | \$900.00 | 3/4/2010 | 63E8GXA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 41 | 12/22/2009 | Wealth Forecasting | \$1,000.00 | 3/4/2010 | 63E8GXA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 41 | 12/22/2009 | Estate Planning | \$1,000.00 | 3/4/2010 | 63E8GXA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$2,900.00 | | | | | |
| Investor 42 | 10/21/2009 | Tax-Sensitive | \$2,300.00 | 2/16/2010 | 61ZWWVA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 42 | 10/20/2010 | Detailed Cash Flow | \$3,300.00 | 1/24/2011 | 6CD49TA0 | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| Investor 42 | 10/19/2011 | FOCUSPlan | \$3,000.00 | 2/3/2012 | 6LW03A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 42 | 10/25/2012 | FOCUSPlan | \$2,600.00 | 4/18/2013 | 705SXA0 | \$ 2,288.00 | \$ 1,040.00 | \$ 1,248.00 |
| Investor 42 | 10/24/2014 | FOCUSPlan | \$2,800.00 | 2/19/2015 | 7QEAPAA0 | \$ 2,100.00 | \$ 1,120.00 | \$ 980.00 |
| Investor 42 | 11/11/2015 | FOCUSPlan | \$2,800.00 | 2/5/2016 | 874NEYA0 | \$ 2,030.00 | \$ 1,120.00 | \$ 910.00 |
| Investor 42 | 11/13/2013 | FOCUSPlan | \$3,000.00 | 2/15/2014 | 8ALXE7A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 42 | 11/13/2013 | Investment Planning | \$2,400.00 | 2/15/2014 | 8ALXE7A0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 42 | 11/11/2015 | Investment Planning | \$1,800.00 | 2/5/2016 | 874NEYA0 | \$ 1,305.00 | \$ 720.00 | \$ 585.00 |
| Investor 42 | 10/24/2014 | Investment Planning | \$2,000.00 | 2/19/2015 | 7QEAPAA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 42 | 10/25/2012 | Investment Planning | \$2,150.00 | 4/18/2013 | 7055XSA0 | \$ 1,892.00 | \$ 860.00 | \$ 1,032.00 |
| Investor 42 | 10/19/2011 | Investment Planning | \$2,500.00 | 2/3/2012 | 6LW03A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 42 | 10/20/2010 | Investment Planning | \$1,500.00 | 1/24/2011 | 6CD49TA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 42 | 10/21/2009 | Investment Planning | \$1,500.00 | 2/16/2010 | 61ZWWVA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 42 | 10/21/2009 | Wealth Forecasting | \$1,000.00 | 2/16/2010 | 61ZWWVA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/20/2010 | Wealth Forecasting | \$1,000.00 | 1/24/2011 | 6CD49TA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/19/2011 | Wealth Forecasting | \$1,000.00 | 2/3/2012 | 6LW03A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/25/2012 | Wealth Forecasting | \$1,000.00 | 4/18/2013 | 7055XSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/24/2014 | Wealth Forecasting | \$900.00 | 2/19/2015 | 7QEAPAA0 | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 42 | 11/11/2015 | Wealth Forecasting | \$900.00 | 2/5/2016 | 874NEYA0 | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 42 | 11/13/2013 | Wealth Forecasting | \$1,000.00 | 2/15/2014 | 8ALXE7A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/25/2012 | Estate Planning | \$1,000.00 | 4/18/2013 | 7055XSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/19/2011 | Estate Planning | \$1,000.00 | 2/3/2012 | 6LW03A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 42 | 10/20/2010 | Estate Planning | \$2,000.00 | 1/24/2011 | 6CD49TA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 42 | 10/21/2009 | Estate Planning | \$2,000.00 | 2/16/2010 | 61ZWWVA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 42 | 10/22/2007 | FOCUSPlan Other | \$2,250.00 | 4/24/2008 | 15529001 | \$ 1,980.00 | \$ 900.00 | \$ 1,080.00 |
| Investor 42 | 10/22/2007 | Strategy Other | \$4,500.00 | 4/24/2008 | 15529001 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 42 | 10/8/2008 | FOCUSPlan Other | \$3,500.00 | 3/2/2009 | 16808401 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 42 | 10/8/2008 | Strategy Other | \$4,500.00 | 3/2/2009 | 16808401 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$61,200.00 | | | | | |
| Investor 43 | 7/30/2009 | Tax-Sensitive | \$2,300.00 | 1/29/2010 | 610T86A0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 43 | 3/11/2011 | Detailed Cash Flow | \$3,500.00 | 9/14/2011 | 6FA6PPA0 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 43 | 3/16/2012 | FOCUSPlan | \$3,000.00 | 8/28/2012 | 607SVOA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 43 | 3/16/2012 | Investment Planning | \$2,000.00 | 8/28/2012 | 607SVOA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 43 | 3/11/2011 | Investment Planning | \$1,500.00 | 9/14/2011 | 6FA6PPA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 43 | 7/30/2009 | Investment Planning | \$1,500.00 | 1/29/2010 | 610T86A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 43 | 7/30/2009 | Wealth Forecasting | \$1,000.00 | 1/29/2010 | 610T86A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 43 | 3/11/2011 | Wealth Forecasting | \$1,000.00 | 9/14/2011 | 6FA6PPA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 43 | 3/16/2012 | Wealth Forecasting | \$1,000.00 | 8/28/2012 | 607SVOA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 43 | 3/16/2012 | Estate Planning | \$1,700.00 | 8/28/2012 | 607SVOA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 43 | 3/11/2011 | Estate Planning | \$2,000.00 | 9/14/2011 | 6FA6PPA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 43 | 7/30/2009 | Estate Planning | \$2,000.00 | 1/29/2010 | 610T86A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$22,500.00 | | | | | |
| Investor 44 | 12/8/2009 | Investment Planning | \$1,300.00 | 6/3/2010 | 6327BFA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 44 | 12/8/2010 | Investment Planning | \$1,350.00 | 5/16/2011 | 6DA3RSA0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 44 | 12/7/2011 | Investment Planning | \$1,340.00 | 5/29/2012 | 6MJU2FA0 | \$ 1,179.20 | \$ 536.00 | \$ 643.20 |
| Investor 44 | 12/4/2012 | FOCUSPlan | \$1,100.00 | 6/12/2013 | 711N7WA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 44 | 1/29/2008 | Strategy Other | \$1,800.00 | 7/9/2008 | 15913001 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 44 | 1/7/2009 | Investment Planning | \$1,300.00 | 7/6/2009 | 17086901 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| | | | \$8,190.00 | | | | | |
| Investor 45 | 4/1/2010 | Investment Planning | \$1,500.00 | 10/1/2010 | 65LRF4A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 45 | 4/5/2011 | FOCUSPlan | \$2,000.00 | 10/7/2011 | 6FRF1WA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 45 | 4/1/2012 | Investment Planning | \$2,300.00 | 10/1/2012 | 6OHVF8A0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 45 | 3/19/2013 | FOCUSPlan | \$900.00 | 9/5/2013 | 73XSRYA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 45 | 7/8/2014 | Investment Planning | \$1,500.00 | 9/18/2014 | 7KQ4ADA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 45 | 6/15/2015 | FOCUSPlan | \$1,000.00 | 9/24/2015 | 7ZIGVFA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 45 | 6/15/2015 | Investment Planning | \$1,400.00 | 9/24/2015 | 7ZIGVFA0 | \$ 1,015.00 | \$ 560.00 | \$ 455.00 |
| Investor 45 | 7/8/2014 | FOCUSPlan | \$1,000.00 | 9/18/2014 | 7KQ4ADA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 45 | 3/19/2013 | Investment Planning | \$2,000.00 | 9/5/2013 | 73XSRVA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 45 | 4/1/2012 | Wealth Forecasting | \$1,000.00 | 10/1/2012 | 60HVT8A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 45 | 4/5/2011 | Investment Planning | \$1,500.00 | 10/7/2011 | 6FRF1WA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 45 | 4/1/2010 | Wealth Forecasting | \$1,000.00 | 10/1/2010 | 65LRF4A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 45 | 4/1/2010 | Estate Planning | \$1,050.00 | 10/1/2010 | 65LRF4A0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 45 | 4/5/2011 | Wealth Forecasting | \$450.00 | 10/7/2011 | 6FRF1WA0 | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 45 | 7/10/2009 | FOCUSPlan | \$1,000.00 | 10/23/2009 | 17701001 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 45 | 7/10/2009 | Investment Planning | \$550.00 | 10/23/2009 | 17701001 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| | | | \$20,150.00 | | | | | |
| Investor 46 | 3/4/2010 | Investment Planning | \$1,180.00 | 8/31/2010 | 64ZXDCA0 | \$ 1,038.40 | \$ 472.00 | \$ 566.40 |
| Investor 46 | 6/13/2011 | Investment Planning | \$1,775.00 | 9/29/2011 | 6H3WMXA0 | \$ 1,562.00 | \$ 710.00 | \$ 852.00 |
| Investor 46 | 6/20/2012 | Investment Planning | \$1,600.00 | 11/26/2012 | 6PORK9A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 46 | 7/23/2013 | Investment Planning | \$1,500.00 | 1/22/2014 | 798ENHA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 46 | 7/14/2014 | Investment Planning | \$1,300.00 | 10/31/2014 | 7KUOVSA0 | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 46 | 3/4/2010 | Wealth Forecasting | \$500.00 | 8/31/2010 | 64ZXDCA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 46 | 3/28/2007 | Strategy Other | \$1,500.00 | 9/20/2007 | 14739701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 46 | 3/24/2008 | Strategy Other | \$1,825.00 | 10/8/2008 | 16160501 | \$ 1,606.00 | \$ 730.00 | \$ 876.00 |
| Investor 46 | 3/25/2009 | Investment Planning | \$1,480.00 | 8/20/2009 | 17370401 | \$ 1,302.40 | \$ 592.00 | \$ 710.40 |
| | | | \$12,660.00 | | | | | |
| Investor 47 | 4/28/2015 | FOCUSPlan | \$1,200.00 | 9/11/2015 | 7XDX4RA0 | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 47 | 3/22/2016 | FOCUSPlan | \$2,000.00 | 9/14/2016 | 8A8N7VA0 | \$ 1,400.00 | \$ 800.00 | \$ 600.00 |
| Investor 47 | 3/22/2016 | Investment Planning | \$1,200.00 | 9/14/2016 | 8A8N7VA0 | \$ 840.00 | \$ 480.00 | \$ 360.00 |
| | | | \$4,400.00 | | | | | |
| Investor 48 | 8/10/2010 | FOCUSPlan | \$925.00 | 2/1/2011 | 685GH5A0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 48 | 8/9/2011 | Investment Planning | \$925.00 | 12/6/2011 | 6KMAUGA0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 48 | 8/28/2012 | Investment Planning | \$650.00 | 1/29/2013 | 6X3SULA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 48 | 8/21/2013 | Investment Planning | \$650.00 | 1/22/2014 | 7A5BHDA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 48 | 8/6/2014 | Investment Planning | \$650.00 | 1/15/2015 | 7LSMHHA0 | \$ 487.50 | \$ 260.00 | \$ 227.50 |
| | | | \$3,800.00 | | | | | |
| Investor 49 | 7/14/2010 | Detailed Cash Flow | \$4,000.00 | 11/8/2010 | 67RJ58A0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 49 | 8/11/2011 | Detailed Cash Flow | \$5,000.00 | 2/14/2012 | 6KVULBA0 | \$ 4,400.00 | \$ 2,000.00 | \$ 2,400.00 |
| Investor 49 | 8/6/2014 | Estate Planning | \$3,000.00 | 12/1/2014 | 7LTCLNA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 49 | 8/9/2012 | Tax-Sensitive | \$4,000.00 | 1/21/2013 | 8ALXFEA0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 49 | 8/9/2013 | Tax-Sensitive | \$4,000.00 | 1/22/2014 | 8ALXHEA0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 49 | 8/9/2013 | Investment Planning | \$2,500.00 | 1/22/2014 | 8ALXHEA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 49 | 8/9/2012 | Investment Planning | \$2,500.00 | 1/21/2013 | 8ALXFEA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 49 | 8/6/2014 | Wealth Forecasting | \$1,000.00 | 12/1/2014 | 7LTCLNA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 49 | 8/11/2011 | Investment Planning | \$2,400.00 | 2/14/2012 | 6KVULBA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 49 | 7/14/2010 | Investment Planning | \$1,500.00 | 11/8/2010 | 67RJ58A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 49 | 7/14/2010 | Wealth Forecasting | \$1,000.00 | 11/8/2010 | 67RJ58A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 49 | 8/11/2011 | Wealth Forecasting | \$1,000.00 | 2/14/2012 | 6KVULBA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 49 | 8/6/2014 | Investment Planning | \$2,500.00 | 12/1/2014 | 7LTCLNA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 49 | 8/9/2012 | Wealth Forecasting | \$1,000.00 | 1/21/2013 | 8ALXFEA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 49 | 8/9/2013 | Wealth Forecasting | \$1,000.00 | 1/22/2014 | 8ALXHEA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 49 | 8/9/2013 | Estate Planning | \$2,000.00 | 1/22/2014 | 8ALXHEA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 49 | 8/9/2012 | Estate Planning | \$2,000.00 | 1/21/2013 | 8ALXFEA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 49 | 8/6/2014 | FOCUSPlan | \$3,000.00 | 12/1/2014 | 7LTCLNA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 49 | 8/11/2011 | Estate Planning | \$2,000.00 | 2/14/2012 | 6KVULBA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 49 | 7/14/2010 | Estate Planning | \$2,000.00 | 11/8/2010 | 67RJ58A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 49 | 7/30/2007 | FOCUSPlan Other | \$3,000.00 | 1/31/2008 | 15213101 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 49 | 7/30/2007 | Strategy Other | \$4,500.00 | 1/31/2008 | 15213101 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 49 | 8/5/2008 | FOCUSPlan Other | \$2,800.00 | 2/4/2009 | 16591501 | \$ 2,464.00 | \$ 1,120.00 | \$ 1,344.00 |
| Investor 49 | 8/5/2008 | Strategy Other | \$4,500.00 | 2/4/2009 | 16591501 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 49 | 7/14/2009 | Tax-Sensitive | \$2,900.00 | 11/30/2009 | 17701201 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 49 | 7/14/2009 | Investment Planning | \$1,500.00 | 11/30/2009 | 17701201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 49 | 7/14/2009 | Wealth Forecasting | \$1,000.00 | 11/30/2009 | 17701201 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 49 | 7/14/2009 | Estate Planning | \$2,000.00 | 11/30/2009 | 17701201 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$69,600.00 | | | | | |
| Investor 50 | 7/9/2012 | FOCUSPlan | \$800.00 | 1/8/2013 | 6TCGAQA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 51 | 11/13/2007 | FOCUSPlan Other | \$1,825.00 | 4/24/2008 | 15616701 | \$ 1,606.00 | \$ 730.00 | \$ 876.00 |
| Investor 51 | 11/13/2007 | Strategy Other | \$1,300.00 | 4/24/2008 | 15616701 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| | | | \$3,125.00 | | | | | |
| Investor 52 | 12/7/2012 | FOCUSPlan | \$1,200.00 | 5/20/2013 | 71Z0CHA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 52 | 1/13/2014 | Investment Planning | \$0.00 | 3/25/2014 | 7GY2AGA0 | \$ - | \$ - | \$ - |
| Investor 52 | 12/17/2014 | FOCUSPlan | \$1,045.00 | 3/19/2015 | 7T071ZA0 | \$ 783.75 | \$ 418.00 | \$ 365.75 |
| Investor 52 | 12/14/2015 | Investment Planning | \$950.00 | 3/23/2016 | 88DB7RA0 | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| | | | \$3,195.00 | | | | | |
| Investor 53 | 1/19/2007 | Strategy Other | \$650.00 | 3/14/2007 | 14446801 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| | | | \$650.00 | | | | | |
| Investor 54 | 3/15/2010 | FOCUSPlan | \$2,000.00 | 4/26/2010 | 654ESZA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 54 | 2/18/2011 | FOCUSPlan | \$1,600.00 | 8/26/2011 | 6ESK98A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 54 | 2/16/2012 | FOCUSPlan | \$2,400.00 | 8/2/2012 | 6NSQG9A0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 54 | 2/14/2013 | FOCUSPlan | \$2,450.00 | 7/25/2013 | 73BZWGA0 | \$ 2,156.00 | \$ 980.00 | \$ 1,176.00 |
| Investor 54 | 5/9/2014 | FOCUSPlan | \$2,250.00 | 11/5/2014 | 7J0PCXA0 | \$ 1,687.50 | \$ 900.00 | \$ 787.50 |
| Investor 54 | 5/28/2015 | FOCUSPlan | \$3,000.00 | 12/1/2015 | 7XR9NCA0 | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 54 | 5/28/2015 | Investment Planning | \$1,500.00 | 12/1/2015 | 7XR9NCA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 54 | 5/9/2014 | Investment Planning | \$2,250.00 | 11/5/2014 | 7J0PCXA0 | \$ 1,687.50 | \$ 900.00 | \$ 787.50 |
| Investor 54 | 2/14/2013 | Investment Planning | \$2,500.00 | 7/25/2013 | 73BZWGA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 54 | 2/16/2012 | Investment Planning | \$2,500.00 | 8/2/2012 | 6NSQG9A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 54 | 2/18/2011 | Investment Planning | \$1,500.00 | 8/26/2011 | 6ESK98A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 54 | 3/15/2010 | Investment Planning | \$1,500.00 | 4/26/2010 | 654ESZA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 54 | 3/15/2010 | Estate Planning | \$1,200.00 | 4/26/2010 | 654ESZA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 54 | 2/18/2011 | Wealth Forecasting | \$1,000.00 | 8/26/2011 | 6ESK98A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 54 | 2/16/2012 | Wealth Forecasting | \$1,000.00 | 8/2/2012 | 6NSQG9A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 54 | 2/14/2013 | Wealth Forecasting | \$1,000.00 | 7/25/2013 | 73BZWGA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 54 | 5/9/2014 | Wealth Forecasting | \$1,000.00 | 11/5/2014 | 7J0PCXA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 54 | 5/28/2015 | Wealth Forecasting | \$1,000.00 | 12/1/2015 | 7XR9NCA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 54 | 2/18/2011 | Estate Planning | \$2,000.00 | 8/26/2011 | 6ESK98A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 54 | 2/26/2007 | Strategy Other | \$3,150.00 | 3/14/2007 | 14604401 | \$ 2,772.00 | \$ 1,260.00 | \$ 1,512.00 |
| Investor 54 | 3/13/2008 | FOCUSPlan Other | \$1,575.00 | 5/15/2008 | 16089301 | \$ 1,386.00 | \$ 630.00 | \$ 756.00 |
| Investor 54 | 3/13/2008 | Strategy Other | \$3,000.00 | 5/15/2008 | 16089301 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 54 | 2/27/2009 | Investment Planning | \$1,500.00 | 9/11/2009 | 17293201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 54 | 2/27/2009 | Wealth Forecasting | \$1,000.00 | 9/11/2009 | 17293201 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 54 | 2/27/2009 | Estate Planning | \$1,390.00 | 9/11/2009 | 17293201 | \$ 1,223.20 | \$ 556.00 | \$ 667.20 |
| | | | \$45,265.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 55 | 8/27/2009 | Investment Planning | \$1,500.00 | 3/1/2010 | 60TY00AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 55 | 9/23/2010 | Investment Planning | \$1,500.00 | 3/24/2011 | 6BUUEMAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 55 | 9/23/2011 | Investment Planning | \$2,400.00 | 3/13/2012 | 6LAO25AO | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 55 | 9/10/2012 | FOCUSPlan | \$1,970.00 | 3/11/2013 | 6X1F7JAO | \$ 1,733.60 | \$ 788.00 | \$ 945.60 |
| Investor 55 | 9/9/2013 | FOCUSPlan | \$1,800.00 | 3/5/2014 | 7AALKBAO | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 55 | 8/28/2014 | Investment Planning | \$1,500.00 | 2/26/2015 | 7MIPUQAO | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 55 | 9/21/2015 | Investment Planning | \$1,400.00 | 1/15/2016 | 84M2B1AO | \$ 1,015.00 | \$ 560.00 | \$ 455.00 |
| Investor 55 | 9/23/2010 | Wealth Forecasting | \$700.00 | 3/24/2011 | 6BUUEMAO | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 55 | 8/27/2009 | Wealth Forecasting | \$450.00 | 3/1/2010 | 60TY00AO | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 55 | 8/15/2007 | Strategy Other | \$1,900.00 | 2/14/2008 | 15272801 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 55 | 10/29/2008 | Strategy Other | \$2,350.00 | 3/25/2009 | 16872501 | \$ 2,068.00 | \$ 940.00 | \$ 1,128.00 |
| | | | \$17,470.00 | | | | | |
| Investor 56 | 9/3/2009 | FOCUSPlan | \$1,200.00 | 3/2/2010 | 610TCSAO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 56 | 9/16/2010 | FOCUSPlan | \$1,200.00 | 3/16/2011 | 6BQA7YAO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 56 | 9/1/2011 | FOCUSPlan | \$2,500.00 | 2/29/2012 | 6L207FAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 56 | 9/1/2011 | Investment Planning | \$1,300.00 | 2/29/2012 | 6L207FAO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 56 | 9/16/2010 | Investment Planning | \$1,000.00 | 3/16/2011 | 6BQA7YAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 56 | 9/3/2009 | Investment Planning | \$1,500.00 | 3/2/2010 | 610TCSAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 56 | 9/16/2010 | Wealth Forecasting | \$1,000.00 | 3/16/2011 | 6BQA7YAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 56 | 9/12/2007 | Strategy Other | \$2,300.00 | 2/25/2008 | 15373601 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 56 | 9/9/2008 | FOCUSPlan Other | \$650.00 | 3/10/2009 | 16697001 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 56 | 9/9/2008 | Strategy Other | \$2,300.00 | 3/10/2009 | 16697001 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| | | | \$14,950.00 | | | | | |
| Investor 57 | 11/24/2009 | Investment Planning | \$925.00 | 5/12/2010 | 6255ESA0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 57 | 11/18/2010 | Investment Planning | \$1,100.00 | 3/1/2011 | 6CXON8AO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 57 | 11/10/2011 | Investment Planning | \$1,300.00 | 5/7/2012 | 6M7500AO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 57 | 11/14/2012 | Investment Planning | \$1,150.00 | 5/13/2013 | 70FLY5AO | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 57 | 11/20/2013 | Investment Planning | \$1,150.00 | 3/25/2014 | 7F6BUJAO | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 57 | 11/5/2014 | Investment Planning | \$1,050.00 | 4/17/2015 | 7Q16IRA0 | \$ 787.50 | \$ 420.00 | \$ 367.50 |
| Investor 57 | 11/5/2015 | Investment Planning | \$1,000.00 | 2/23/2016 | 8727BOAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 57 | 11/13/2007 | Strategy Other | \$950.00 | 5/16/2008 | 15612901 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 57 | 11/20/2008 | Strategy Other | \$1,200.00 | 5/26/2009 | 16951201 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| | | | \$9,825.00 | | | | | |
| Investor 58 | 8/23/2007 | Strategy Other | \$2,500.00 | 2/25/2008 | 15311401 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 58 | 8/21/2008 | Strategy Other | \$2,500.00 | 12/29/2008 | 16658501 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| | | | \$5,000.00 | | | | | |
| Investor 59 | 7/16/2010 | FOCUSPlan | \$2,000.00 | 11/8/2010 | 68KAFFAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 59 | 7/8/2011 | FOCUSPlan | \$2,000.00 | 12/9/2011 | 6KIR4JAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 59 | 7/10/2012 | FOCUSPlan | \$1,900.00 | 12/18/2012 | 6WHSALAO | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 59 | 7/8/2011 | Investment Planning | \$1,500.00 | 12/9/2011 | 6KIR4JAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 59 | 7/16/2010 | Investment Planning | \$1,500.00 | 11/8/2010 | 68KAFFAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 59 | 7/16/2010 | Estate Planning | \$1,300.00 | 11/8/2010 | 68KAFFAO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 59 | 7/25/2007 | FOCUSPlan Other | \$1,500.00 | 1/25/2008 | 15196101 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 59 | 7/25/2007 | Strategy Other | \$3,100.00 | 1/25/2008 | 15196101 | \$ 2,728.00 | \$ 1,240.00 | \$ 1,488.00 |
| Investor 59 | 7/25/2008 | FOCUSPlan Other | \$2,000.00 | 10/16/2008 | 16545001 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 59 | 7/25/2008 | Strategy Other | \$3,550.00 | 10/16/2008 | 16545001 | \$ 3,124.00 | \$ 1,420.00 | \$ 1,704.00 |
| Investor 59 | 7/10/2009 | Investment Planning | \$1,500.00 | 10/15/2009 | 17695201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 59 | 7/10/2009 | Wealth Forecasting | \$1,000.00 | 10/15/2009 | 17695201 | \$ 880.00 | \$ 400.00 | \$ 480.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 59 | 7/10/2009 | Estate Planning | \$1,800.00 | 10/15/2009 | 17695201 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| | | | \$24,650.00 | | | | | |
| Investor 60 | 8/17/2009 | Tax-Sensitive | \$2,200.00 | 12/28/2009 | 60JV6LAA | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 60 | 9/27/2010 | Tax-Sensitive | \$2,900.00 | 12/27/2010 | 68YE52AA | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 60 | 9/27/2011 | FOCUSPlan | \$2,250.00 | 2/29/2012 | 6LEQBAAA | \$ 1,980.00 | \$ 900.00 | \$ 1,080.00 |
| Investor 60 | 9/27/2012 | Tax-Sensitive | \$3,200.00 | 3/22/2013 | 6YTG9KAA | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 60 | 9/24/2013 | Tax-Sensitive | \$3,200.00 | 1/28/2014 | 7DQH3GAA | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 60 | 9/16/2014 | FOCUSPlan | \$2,150.00 | 12/9/2014 | 7NPRR2AA | \$ 1,612.50 | \$ 860.00 | \$ 752.50 |
| Investor 60 | 9/8/2015 | FOCUSPlan | \$1,750.00 | 12/17/2015 | 83UIB8AA | \$ 1,268.75 | \$ 700.00 | \$ 568.75 |
| Investor 60 | 9/8/2015 | Investment Planning | \$1,000.00 | 12/17/2015 | 83UIB8AA | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 60 | 9/16/2014 | Investment Planning | \$1,100.00 | 12/9/2014 | 7NPRR2AA | \$ 825.00 | \$ 440.00 | \$ 385.00 |
| Investor 60 | 9/24/2013 | Investment Planning | \$2,100.00 | 1/28/2014 | 7DQH3GAA | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 60 | 9/27/2012 | Investment Planning | \$2,500.00 | 3/22/2013 | 6YTG9KAA | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 60 | 9/27/2011 | Investment Planning | \$2,500.00 | 2/29/2012 | 6LEQBAAA | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 60 | 9/27/2010 | Investment Planning | \$1,500.00 | 12/27/2010 | 68YE52AA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 60 | 8/17/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 60JV6LAA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 60 | 8/17/2009 | Wealth Forecasting | \$1,000.00 | 12/28/2009 | 60JV6LAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 60 | 9/27/2010 | Wealth Forecasting | \$1,000.00 | 12/27/2010 | 68YE52AA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 60 | 9/27/2011 | Wealth Forecasting | \$1,000.00 | 2/29/2012 | 6LEQBAAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 60 | 9/27/2012 | Wealth Forecasting | \$1,000.00 | 3/22/2013 | 6YTG9KAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 60 | 9/24/2013 | Wealth Forecasting | \$1,000.00 | 1/28/2014 | 7DQH3GAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 60 | 9/16/2014 | Wealth Forecasting | \$1,000.00 | 12/9/2014 | 7NPRR2AA | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 60 | 9/8/2015 | Wealth Forecasting | \$900.00 | 12/17/2015 | 83UIB8AA | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 60 | 9/8/2015 | Estate Planning | \$950.00 | 12/17/2015 | 83UIB8AA | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| Investor 60 | 9/16/2014 | Estate Planning | \$1,000.00 | 12/9/2014 | 7NPRR2AA | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 60 | 9/27/2011 | Estate Planning | \$2,000.00 | 2/29/2012 | 6LEQBAAA | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 60 | 9/27/2010 | Estate Planning | \$2,000.00 | 12/27/2010 | 68YE52AA | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 60 | 8/17/2009 | Estate Planning | \$2,000.00 | 12/28/2009 | 60JV6LAA | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 60 | 8/14/2007 | FOCUSPlan Other | \$4,000.00 | 2/8/2008 | 15272001 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 60 | 8/14/2007 | Strategy Other | \$4,000.00 | 2/8/2008 | 15272001 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 60 | 8/12/2008 | FOCUSPlan Other | \$4,000.00 | 2/13/2009 | 16611201 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 60 | 8/12/2008 | Strategy Other | \$4,500.00 | 2/13/2009 | 16611201 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$61,200.00 | | | | | |
| Investor 61 | 5/12/2010 | Investment Planning | \$1,500.00 | 11/9/2010 | 66K31DAA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 61 | 4/1/2011 | Investment Planning | \$1,500.00 | 9/23/2011 | 6FPOKEAA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 61 | 3/9/2012 | FOCUSPlan | \$1,350.00 | 9/6/2012 | 604A26AA | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 61 | 3/21/2013 | FOCUSPlan | \$1,350.00 | 9/5/2013 | 73ZHIBAA | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 61 | 3/4/2014 | FOCUSPlan | \$1,150.00 | 9/8/2014 | 7HX4DEAA | \$ 862.50 | \$ 460.00 | \$ 402.50 |
| Investor 61 | 3/4/2014 | Investment Planning | \$900.00 | 9/8/2014 | 7HX4DEAA | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 61 | 3/21/2013 | Investment Planning | \$990.00 | 9/5/2013 | 73ZHIBAA | \$ 871.20 | \$ 396.00 | \$ 475.20 |
| Investor 61 | 3/9/2012 | Investment Planning | \$1,500.00 | 9/6/2012 | 604A26AA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 61 | 4/1/2011 | Wealth Forecasting | \$1,000.00 | 9/23/2011 | 6FPOKEAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 61 | 5/12/2010 | Estate Planning | \$1,200.00 | 11/9/2010 | 66K31DAA | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 61 | 4/1/2011 | Estate Planning | \$1,975.00 | 9/23/2011 | 6FPOKEAA | \$ 1,738.00 | \$ 790.00 | \$ 948.00 |
| Investor 61 | 3/9/2012 | Wealth Forecasting | \$1,000.00 | 9/6/2012 | 604A26AA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 61 | 3/21/2013 | Wealth Forecasting | \$1,000.00 | 9/5/2013 | 73ZHIBAA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 61 | 3/4/2014 | Wealth Forecasting | \$910.00 | 9/8/2014 | 7HX4DEAA | \$ 682.50 | \$ 364.00 | \$ 318.50 |
| Investor 61 | 2/7/2007 | Strategy Other | \$1,800.00 | 3/14/2007 | 14513701 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 61 | 2/29/2008 | Strategy Other | \$2,200.00 | 8/13/2008 | 16030101 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 61 | 4/1/2009 | Investment Planning | \$1,500.00 | 10/5/2009 | 17403501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 61 | 4/1/2009 | Wealth Forecasting | \$975.00 | 10/5/2009 | 17403501 | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| | | | \$23,800.00 | | | | | |
| Investor 62 | 6/24/2010 | Investment Planning | \$1,500.00 | 11/3/2010 | 67KUBUA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 62 | 5/31/2011 | Investment Planning | \$1,500.00 | 11/22/2011 | 6GOXM1A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 62 | 5/15/2012 | Investment Planning | \$1,500.00 | 11/6/2012 | 6P3LF7A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 62 | 5/6/2013 | Investment Planning | \$2,200.00 | 10/15/2013 | 75L4PSA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 62 | 5/5/2014 | FOCUSPlan | \$2,750.00 | 9/3/2014 | 71V4F7A0 | \$ 2,062.50 | \$ 1,100.00 | \$ 962.50 |
| Investor 62 | 5/7/2015 | FOCUSPlan | \$2,450.00 | 8/18/2015 | 7XH57XA0 | \$ 1,776.25 | \$ 980.00 | \$ 796.25 |
| Investor 62 | 5/6/2013 | Wealth Forecasting | \$1,000.00 | 10/15/2013 | 75L4PSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 62 | 5/15/2012 | Wealth Forecasting | \$900.00 | 11/6/2012 | 6P3LF7A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 62 | 5/31/2011 | Wealth Forecasting | \$1,000.00 | 11/22/2011 | 6GOXM1A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 62 | 6/24/2010 | Wealth Forecasting | \$1,000.00 | 11/3/2010 | 67KUBUA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 62 | 6/24/2010 | Estate Planning | \$1,400.00 | 11/3/2010 | 67KUBUA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 62 | 5/31/2011 | Estate Planning | \$1,300.00 | 11/22/2011 | 6GOXM1A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 62 | 5/15/2012 | Estate Planning | \$1,000.00 | 11/6/2012 | 6P3LF7A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 62 | 7/23/2007 | FOCUSPlan Other | \$1,500.00 | 1/28/2008 | 15184201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 62 | 7/23/2007 | Strategy Other | \$3,200.00 | 1/28/2008 | 15184201 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 62 | 7/10/2008 | FOCUSPlan Other | \$2,000.00 | 1/23/2009 | 16497901 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 62 | 7/10/2008 | Strategy Other | \$3,450.00 | 1/23/2009 | 16497901 | \$ 3,036.00 | \$ 1,380.00 | \$ 1,656.00 |
| Investor 62 | 7/8/2009 | Investment Planning | \$1,500.00 | 10/13/2009 | 17686701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 62 | 7/8/2009 | Wealth Forecasting | \$1,000.00 | 10/13/2009 | 17686701 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 62 | 7/8/2009 | Estate Planning | \$1,400.00 | 10/13/2009 | 17686701 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| | | | \$33,550.00 | | | | | |
| Investor 63 | 6/22/2011 | FOCUSPlan | \$3,000.00 | 10/7/2011 | 6HADEGA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 63 | 6/22/2011 | Investment Planning | \$2,000.00 | 10/7/2011 | 6HADEGA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 63 | 6/22/2011 | Wealth Forecasting | \$1,000.00 | 10/7/2011 | 6HADEGA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 63 | 6/6/2007 | Strategy Other | \$4,500.00 | 12/12/2007 | 15014401 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 63 | 6/18/2008 | FOCUSPlan Other | \$3,200.00 | 12/24/2008 | 16442401 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 63 | 6/18/2008 | Strategy Other | \$4,500.00 | 12/24/2008 | 16442401 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 63 | 6/25/2009 | FOCUSPlan | \$2,000.00 | 10/7/2009 | 17659501 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 63 | 6/25/2009 | Investment Planning | \$1,500.00 | 10/7/2009 | 17659501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 63 | 6/25/2009 | Wealth Forecasting | \$1,000.00 | 10/7/2009 | 17659501 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 63 | 6/25/2009 | Estate Planning | \$1,600.00 | 10/7/2009 | 17659501 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 63 | 6/23/2010 | FOCUSPlan | \$1,750.00 | 10/25/2010 | 6711DMA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 63 | 6/20/2012 | FOCUSPlan | \$2,500.00 | 12/10/2012 | 6PORQ2A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 63 | 7/17/2013 | FOCUSPlan | \$2,500.00 | 1/21/2014 | 792Q7FA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 63 | 8/25/2014 | FOCUSPlan | \$2,000.00 | 2/26/2015 | 7MGVSA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 63 | 8/28/2015 | FOCUSPlan | \$2,000.00 | 12/3/2015 | 836CQLA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 63 | 8/28/2015 | Investment Planning | \$1,900.00 | 12/3/2015 | 836CQLA0 | \$ 1,377.50 | \$ 760.00 | \$ 617.50 |
| Investor 63 | 8/25/2014 | Investment Planning | \$2,200.00 | 2/26/2015 | 7MGVSA0 | \$ 1,650.00 | \$ 880.00 | \$ 770.00 |
| Investor 63 | 7/17/2013 | Investment Planning | \$2,500.00 | 1/21/2014 | 792Q7FA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 63 | 6/20/2012 | Investment Planning | \$2,500.00 | 12/10/2012 | 6PORQ2A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 63 | 6/23/2010 | Investment Planning | \$1,500.00 | 10/25/2010 | 6711DMA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 63 | 6/23/2010 | Wealth Forecasting | \$1,000.00 | 10/25/2010 | 6711DMA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 63 | 6/20/2012 | Wealth Forecasting | \$1,000.00 | 12/10/2012 | 6PORQ2A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 63 | 7/17/2013 | Wealth Forecasting | \$1,000.00 | 1/21/2014 | 792Q7FA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 63 | 8/25/2014 | Wealth Forecasting | \$1,000.00 | 2/26/2015 | 7MGV5QAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 63 | 8/28/2015 | Wealth Forecasting | \$700.00 | 12/3/2015 | 836CQLAO | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 63 | 8/28/2015 | Estate Planning | \$500.00 | 12/3/2015 | 836CQLAO | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| Investor 63 | 8/25/2014 | Estate Planning | \$800.00 | 2/26/2015 | 7MGV5QAO | \$ 600.00 | \$ 320.00 | \$ 280.00 |
| Investor 63 | 7/17/2013 | Estate Planning | \$800.00 | 1/21/2014 | 792Q7FAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 63 | 6/20/2012 | Estate Planning | \$1,400.00 | 12/10/2012 | 6PORQ2AO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 63 | 6/23/2010 | Estate Planning | \$2,000.00 | 10/25/2010 | 671IDMAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$55,850.00 | | | | | |
| Investor 64 | 11/13/2009 | Investment Planning | \$1,500.00 | 5/14/2010 | 6255GDAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 64 | 12/29/2010 | Investment Planning | \$1,500.00 | 6/6/2011 | 6DN16YAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 64 | 11/29/2011 | FOCUSPlan | \$2,500.00 | 5/29/2012 | 6MMO79AO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 64 | 12/3/2012 | FOCUSPlan | \$2,000.00 | 5/16/2013 | 72AEB3AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 64 | 12/4/2013 | FOCUSPlan | \$2,000.00 | 6/6/2014 | 7FCXCAAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 64 | 12/29/2014 | Investment Planning | \$1,200.00 | 5/15/2015 | 7T3H4BAO | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 64 | 12/10/2015 | FOCUSPlan | \$2,000.00 | 5/20/2016 | 88CUZRAO | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 64 | 12/10/2015 | Investment Planning | \$950.00 | 5/20/2016 | 88CUZRAO | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| Investor 64 | 12/29/2014 | FOCUSPlan | \$2,000.00 | 5/15/2015 | 7T3H4BAO | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 64 | 12/4/2013 | Investment Planning | \$1,100.00 | 6/6/2014 | 7FCXCAAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 64 | 12/3/2012 | Investment Planning | \$1,500.00 | 5/16/2013 | 72AEB3AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 64 | 11/29/2011 | Investment Planning | \$1,400.00 | 5/29/2012 | 6MMO79AO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 64 | 12/29/2010 | Wealth Forecasting | \$1,000.00 | 6/6/2011 | 6DN16YAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 64 | 11/13/2009 | Wealth Forecasting | \$750.00 | 5/14/2010 | 6255GDAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 64 | 11/13/2009 | Estate Planning | \$750.00 | 5/14/2010 | 6255GDAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 64 | 12/29/2010 | Estate Planning | \$900.00 | 6/6/2011 | 6DN16YAO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 64 | 12/6/2007 | Strategy Other | \$2,900.00 | 6/9/2008 | 15711601 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 64 | 12/12/2008 | Strategy Other | \$3,475.00 | 5/27/2009 | 17009001 | \$ 3,058.00 | \$ 1,390.00 | \$ 1,668.00 |
| | | | \$29,425.00 | | | | | |
| Investor 65 | 6/9/2010 | Investment Planning | \$1,400.00 | 10/25/2010 | 675CHXAO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 65 | 6/15/2011 | Investment Planning | \$1,200.00 | 9/22/2011 | 6H56X2AO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 65 | 6/13/2012 | Investment Planning | \$1,000.00 | 11/16/2012 | 6PKAXXAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 65 | 6/12/2013 | Investment Planning | \$1,000.00 | 11/18/2013 | 76YU88AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 65 | 6/24/2014 | Investment Planning | \$1,000.00 | 10/6/2014 | 7KGVADA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 65 | 6/15/2015 | Investment Planning | \$600.00 | 10/2/2015 | 7YOYO2AO | \$ 435.00 | \$ 240.00 | \$ 195.00 |
| Investor 65 | 6/21/2016 | Investment Planning | \$600.00 | 9/20/2016 | 8B3WTTAO | \$ 420.00 | \$ 240.00 | \$ 180.00 |
| Investor 65 | 6/12/2008 | Strategy Other | \$1,120.00 | 9/19/2008 | 16406001 | \$ 985.60 | \$ 448.00 | \$ 537.60 |
| Investor 65 | 6/12/2009 | Investment Planning | \$910.00 | 10/13/2009 | 17629701 | \$ 800.80 | \$ 364.00 | \$ 436.80 |
| | | | \$8,830.00 | | | | | |
| Investor 66 | 3/28/2010 | FOCUSPlan | \$2,000.00 | 10/5/2010 | 65LD8XAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 66 | 3/21/2011 | FOCUSPlan | \$2,000.00 | 9/22/2011 | 6FGDP2AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 66 | 3/30/2012 | FOCUSPlan | \$2,200.00 | 9/28/2012 | 6OHV50AO | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 66 | 3/17/2013 | FOCUSPlan | \$2,500.00 | 8/20/2013 | 73YMOGAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 66 | 4/6/2014 | FOCUSPlan | \$1,800.00 | 10/1/2014 | 7IHVSUAO | \$ 1,350.00 | \$ 720.00 | \$ 630.00 |
| Investor 66 | 3/23/2015 | FOCUSPlan | \$1,800.00 | 7/20/2015 | 7VJ841AO | \$ 1,305.00 | \$ 720.00 | \$ 585.00 |
| Investor 66 | 4/19/2016 | Investment Planning | \$2,500.00 | 7/1/2016 | 8AFL4LAO | \$ 1,750.00 | \$ 1,000.00 | \$ 750.00 |
| Investor 66 | 3/23/2015 | Investment Planning | \$1,500.00 | 7/20/2015 | 7VJ841AO | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 66 | 4/6/2014 | Investment Planning | \$1,500.00 | 10/1/2014 | 7IHVSUAO | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 66 | 3/17/2013 | Investment Planning | \$1,760.00 | 8/20/2013 | 73YMOGAO | \$ 1,548.80 | \$ 704.00 | \$ 844.80 |
| Investor 66 | 3/30/2012 | Investment Planning | \$2,000.00 | 9/28/2012 | 6OHV50AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 66 | 3/21/2011 | Investment Planning | \$1,500.00 | 9/22/2011 | 6FGDP2A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 66 | 3/28/2010 | Investment Planning | \$1,500.00 | 10/5/2010 | 65LD8XA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 66 | 3/28/2010 | Wealth Forecasting | \$1,000.00 | 10/5/2010 | 65LD8XA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 66 | 3/21/2011 | Wealth Forecasting | \$1,000.00 | 9/22/2011 | 6FGDP2A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 66 | 3/30/2012 | Wealth Forecasting | \$1,000.00 | 9/28/2012 | 60HVS0A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 66 | 3/17/2013 | Wealth Forecasting | \$1,000.00 | 8/20/2013 | 73YM0GA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 66 | 4/6/2014 | Wealth Forecasting | \$1,000.00 | 10/1/2014 | 7IHSVUA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 66 | 3/23/2015 | Wealth Forecasting | \$950.00 | 7/20/2015 | 7VJ841A0 | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| Investor 66 | 3/21/2011 | Estate Planning | \$1,100.00 | 9/22/2011 | 6FGDP2A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 66 | 3/28/2010 | Estate Planning | \$700.00 | 10/5/2010 | 65LD8XA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 66 | 3/28/2007 | FOCUSPlan Other | \$1,400.00 | 9/20/2007 | 14739901 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 66 | 3/28/2007 | Strategy Other | \$3,500.00 | 9/20/2007 | 14739901 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 66 | 4/7/2008 | FOCUSPlan Other | \$2,000.00 | 8/22/2008 | 16182401 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 66 | 4/7/2008 | Strategy Other | \$3,800.00 | 8/22/2008 | 16182401 | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| Investor 66 | 4/4/2009 | FOCUSPlan | \$2,000.00 | 9/21/2009 | 17403801 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 66 | 4/4/2009 | Investment Planning | \$1,500.00 | 9/21/2009 | 17403801 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 66 | 4/4/2009 | Wealth Forecasting | \$1,000.00 | 9/21/2009 | 17403801 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$47,510.00 | | | | | |
| Investor 67 | 11/24/2009 | FOCUSPlan | \$1,950.00 | 5/14/2010 | 6255CCA0 | \$ 1,716.00 | \$ 780.00 | \$ 936.00 |
| Investor 67 | 3/16/2011 | Investment Planning | \$1,500.00 | 6/20/2011 | 6FCOUNA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 67 | 4/20/2012 | Investment Planning | \$2,500.00 | 10/22/2012 | 6ORNDDA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 67 | 4/26/2013 | FOCUSPlan | \$2,800.00 | 10/25/2013 | 75C8NMA0 | \$ 2,464.00 | \$ 1,120.00 | \$ 1,344.00 |
| Investor 67 | 5/21/2014 | Investment Planning | \$2,400.00 | 10/2/2014 | 714HIAA0 | \$ 1,800.00 | \$ 960.00 | \$ 840.00 |
| Investor 67 | 4/20/2012 | Wealth Forecasting | \$1,000.00 | 10/22/2012 | 6ORNDDA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 67 | 3/16/2011 | Wealth Forecasting | \$1,000.00 | 6/20/2011 | 6FCOUNA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 67 | 11/24/2009 | Investment Planning | \$1,500.00 | 5/14/2010 | 6255CCA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 67 | 11/24/2009 | Wealth Forecasting | \$500.00 | 5/14/2010 | 6255CCA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 67 | 3/16/2011 | Estate Planning | \$1,795.00 | 6/20/2011 | 6FCOUNA0 | \$ 1,579.60 | \$ 718.00 | \$ 861.60 |
| | | | \$16,945.00 | | | | | |
| Investor 68 | 3/29/2010 | FOCUSPlan | \$1,850.00 | 10/1/2010 | 65MWSPA0 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 68 | 4/3/2011 | FOCUSPlan | \$2,900.00 | 9/27/2011 | 6FPLLAA0 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 68 | 3/30/2012 | FOCUSPlan | \$2,500.00 | 9/28/2012 | 6OHVR6A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 68 | 3/12/2013 | FOCUSPlan | \$3,000.00 | 8/20/2013 | 73W2KHA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 68 | 4/5/2007 | Select Module | \$750.00 | 10/5/2007 | 8ALXIAA0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 68 | 4/5/2007 | Investment Planning | \$1,200.00 | 10/5/2007 | 8ALXIAA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 68 | 3/12/2013 | Investment Planning | \$2,425.00 | 8/20/2013 | 73W2KHA0 | \$ 2,134.00 | \$ 970.00 | \$ 1,164.00 |
| Investor 68 | 3/30/2012 | Investment Planning | \$1,500.00 | 9/28/2012 | 6OHVR6A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 68 | 4/3/2011 | Investment Planning | \$1,500.00 | 9/27/2011 | 6FPLLAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 68 | 3/29/2010 | Investment Planning | \$1,500.00 | 10/1/2010 | 65MWSPA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 68 | 3/29/2010 | Wealth Forecasting | \$1,000.00 | 10/1/2010 | 65MWSPA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 68 | 3/29/2010 | Estate Planning | \$2,000.00 | 10/1/2010 | 65MWSPA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 68 | 4/3/2011 | Wealth Forecasting | \$1,000.00 | 9/27/2011 | 6FPLLAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 68 | 3/30/2012 | Wealth Forecasting | \$1,000.00 | 9/28/2012 | 6OHVR6A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 68 | 3/12/2013 | Wealth Forecasting | \$1,000.00 | 8/20/2013 | 73W2KHA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 68 | 3/30/2012 | Estate Planning | \$1,550.00 | 9/28/2012 | 6OHVR6A0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 68 | 4/3/2011 | Estate Planning | \$2,000.00 | 9/27/2011 | 6FPLLAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 68 | 4/7/2008 | FOCUSPlan Other | \$2,000.00 | 10/12/2008 | 16182301 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 68 | 4/7/2008 | Strategy Other | \$2,900.00 | 10/12/2008 | 16182301 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 68 | 4/13/2009 | FOCUSPlan | \$2,000.00 | 10/5/2009 | 17421001 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 68 | 4/13/2009 | Investment Planning | \$1,500.00 | 10/5/2009 | 17421001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 68 | 4/13/2009 | Wealth Forecasting | \$550.00 | 10/5/2009 | 17421001 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| | | | \$37,625.00 | | | | | |
| Investor 69 | 9/16/2010 | FOCUSPlan | \$1,000.00 | 12/27/2010 | 6BRGM7A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 69 | 9/27/2011 | Investment Planning | \$1,350.00 | 12/23/2011 | 6LEQM8A0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 69 | 9/19/2012 | Investment Planning | \$1,200.00 | 3/15/2013 | 6Y4G2QA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| | | | \$3,550.00 | | | | | |
| Investor 70 | 9/24/2009 | FOCUSPlan | \$1,600.00 | 12/28/2009 | 61HT1IA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 70 | 9/24/2010 | Investment Planning | \$1,500.00 | 12/28/2010 | 6BYE7IA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 70 | 12/5/2011 | Investment Planning | \$2,500.00 | 3/23/2012 | 6MIVGGA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 70 | 10/5/2012 | Investment Planning | \$2,000.00 | 3/28/2013 | 6ZUMTCA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 70 | 9/13/2013 | Investment Planning | \$2,000.00 | 3/11/2014 | 7BBYT6A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 70 | 9/5/2014 | Investment Planning | \$1,900.00 | 3/6/2015 | 7MWH7WA0 | \$ 1,425.00 | \$ 760.00 | \$ 665.00 |
| Investor 70 | 9/15/2015 | Investment Planning | \$1,900.00 | 3/4/2016 | 84EAAMA0 | \$ 1,377.50 | \$ 760.00 | \$ 617.50 |
| Investor 70 | 9/15/2015 | Wealth Forecasting | \$1,000.00 | 3/4/2016 | 84EAAMA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 70 | 9/5/2014 | Wealth Forecasting | \$1,000.00 | 3/6/2015 | 7MWH7WA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 70 | 9/13/2013 | Wealth Forecasting | \$1,000.00 | 3/11/2014 | 7BBYT6A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 70 | 10/5/2012 | Wealth Forecasting | \$900.00 | 3/28/2013 | 6ZUMTCA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 70 | 12/5/2011 | Estate Planning | \$650.00 | 3/23/2012 | 6MIVGGA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 70 | 9/24/2010 | Wealth Forecasting | \$1,000.00 | 12/28/2010 | 6BYE7IA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 70 | 9/24/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 61HT1IA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 70 | 9/24/2010 | Estate Planning | \$1,200.00 | 12/28/2010 | 6BYE7IA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 70 | 8/23/2007 | Strategy Other | \$3,000.00 | 2/25/2008 | 15302501 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 70 | 8/22/2008 | Strategy Other | \$3,750.00 | 12/29/2008 | 16655701 | \$ 3,300.00 | \$ 1,500.00 | \$ 1,800.00 |
| | | | \$28,400.00 | | | | | |
| Investor 71 | 4/21/2010 | Tax-Sensitive | \$2,400.00 | 8/2/2010 | 663ZUSA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 71 | 5/4/2011 | FOCUSPlan | \$2,100.00 | 7/12/2011 | 6G7K2PA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 71 | 4/11/2012 | Tax-Sensitive | \$4,000.00 | 10/8/2012 | 6OLN9EA0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 71 | 4/10/2013 | Tax-Sensitive | \$4,000.00 | 9/12/2013 | 751UFGA0 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 71 | 4/9/2014 | Tax-Sensitive | \$3,000.00 | 7/23/2014 | 7IHVTA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 71 | 4/9/2014 | Investment Planning | \$1,000.00 | 7/23/2014 | 7IHVTA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 71 | 4/10/2013 | Investment Planning | \$1,200.00 | 9/12/2013 | 751UFGA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 71 | 4/11/2012 | Investment Planning | \$1,700.00 | 10/8/2012 | 6OLN9EA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 71 | 5/4/2011 | Investment Planning | \$2,500.00 | 7/12/2011 | 6G7K2PA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 71 | 4/21/2010 | Investment Planning | \$1,500.00 | 8/2/2010 | 663ZUSA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 71 | 4/21/2010 | Wealth Forecasting | \$1,000.00 | 8/2/2010 | 663ZUSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 71 | 5/4/2011 | Wealth Forecasting | \$1,000.00 | 7/12/2011 | 6G7K2PA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 71 | 4/11/2012 | Wealth Forecasting | \$1,000.00 | 10/8/2012 | 6OLN9EA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 71 | 4/10/2013 | Wealth Forecasting | \$1,000.00 | 9/12/2013 | 751UFGA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 71 | 4/9/2014 | Wealth Forecasting | \$1,000.00 | 7/23/2014 | 7IHVTA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 71 | 5/4/2011 | Estate Planning | \$2,000.00 | 7/12/2011 | 6G7K2PA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 71 | 4/21/2010 | Estate Planning | \$2,000.00 | 8/2/2010 | 663ZUSA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 71 | 4/16/2007 | FOCUSPlan Other | \$3,400.00 | 10/10/2007 | 14826001 | \$ 2,992.00 | \$ 1,360.00 | \$ 1,632.00 |
| Investor 71 | 4/16/2007 | Strategy Other | \$4,500.00 | 10/10/2007 | 14826001 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 71 | 4/22/2008 | FOCUSPlan Other | \$3,400.00 | 10/23/2008 | 16235801 | \$ 2,992.00 | \$ 1,360.00 | \$ 1,632.00 |
| Investor 71 | 4/22/2008 | Strategy Other | \$4,500.00 | 10/23/2008 | 16235801 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 71 | 4/15/2009 | FOCUSPlan | \$1,800.00 | 10/5/2009 | 17462201 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 71 | 4/15/2009 | Investment Planning | \$1,500.00 | 10/5/2009 | 17462201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 71 | 4/15/2009 | Wealth Forecasting | \$1,000.00 | 10/5/2009 | 17462201 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 71 | 4/15/2009 | Estate Planning | \$2,000.00 | 10/5/2009 | 17462201 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$54,500.00 | | | | | |
| Investor 72 | 3/8/2007 | Strategy Other | \$1,200.00 | 3/14/2007 | 14668301 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 72 | 3/13/2008 | Strategy Other | \$1,400.00 | 9/19/2008 | 16096401 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| | | | \$2,600.00 | | | | | |
| Investor 73 | 9/10/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 614PLWAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 73 | 9/9/2010 | FOCUSPlan | \$2,000.00 | 12/27/2010 | 6BP7EJAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 73 | 9/8/2011 | FOCUSPlan | \$3,000.00 | 12/9/2011 | 6L4POUAO | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 73 | 9/6/2012 | FOCUSPlan | \$3,000.00 | 3/1/2013 | 6XOR04AO | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 73 | 9/18/2014 | FOCUSPlan | \$3,000.00 | 3/19/2015 | 7NOLB9AO | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 73 | 9/24/2015 | FOCUSPlan | \$3,000.00 | 12/17/2015 | 84YMJ6AO | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 73 | 9/19/2013 | FOCUSPlan | \$3,000.00 | 1/28/2014 | 8ALXJSAO | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 73 | 9/19/2013 | Investment Planning | \$2,400.00 | 1/28/2014 | 8ALXJSAO | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 73 | 9/24/2015 | Investment Planning | \$2,100.00 | 12/17/2015 | 84YMJ6AO | \$ 1,522.50 | \$ 840.00 | \$ 682.50 |
| Investor 73 | 9/18/2014 | Investment Planning | \$2,300.00 | 3/19/2015 | 7NOLB9AO | \$ 1,725.00 | \$ 920.00 | \$ 805.00 |
| Investor 73 | 9/6/2012 | Investment Planning | \$2,400.00 | 3/1/2013 | 6XOR04AO | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 73 | 9/8/2011 | Investment Planning | \$2,500.00 | 12/9/2011 | 6L4POUAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 73 | 9/9/2010 | Investment Planning | \$1,500.00 | 12/27/2010 | 6BP7EJAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 73 | 9/10/2009 | Wealth Forecasting | \$1,000.00 | 12/28/2009 | 614PLWAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 73 | 9/10/2009 | Estate Planning | \$1,800.00 | 12/28/2009 | 614PLWAO | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 73 | 9/9/2010 | Wealth Forecasting | \$1,000.00 | 12/27/2010 | 6BP7EJAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 73 | 9/8/2011 | Wealth Forecasting | \$1,000.00 | 12/9/2011 | 6L4POUAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 73 | 9/6/2012 | Wealth Forecasting | \$1,000.00 | 3/1/2013 | 6XOR04AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 73 | 9/18/2014 | Wealth Forecasting | \$1,000.00 | 3/19/2015 | 7NOLB9AO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 73 | 9/24/2015 | Wealth Forecasting | \$1,000.00 | 12/17/2015 | 84YMJ6AO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 73 | 9/19/2013 | Wealth Forecasting | \$1,000.00 | 1/28/2014 | 8ALXJSAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 73 | 9/8/2011 | Estate Planning | \$670.00 | 12/9/2011 | 6L4POUAO | \$ 589.60 | \$ 268.00 | \$ 321.60 |
| Investor 73 | 9/9/2010 | Estate Planning | \$1,550.00 | 12/27/2010 | 6BP7EJAO | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 73 | 10/1/2007 | Strategy Other | \$2,400.00 | 3/28/2008 | 15448801 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 73 | 9/11/2008 | FOCUSPlan Other | \$1,050.00 | 3/9/2009 | 16718201 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 73 | 9/11/2008 | Strategy Other | \$1,500.00 | 3/9/2009 | 16718201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$47,670.00 | | | | | |
| Investor 74 | 8/30/2007 | Strategy Other | \$3,900.00 | 2/27/2008 | 15332001 | \$ 3,432.00 | \$ 1,560.00 | \$ 1,872.00 |
| | | | \$3,900.00 | | | | | |
| Investor 75 | 4/24/2015 | Investment Planning | \$1,325.00 | 10/26/2015 | 7XDWZJAO | \$ 960.63 | \$ 530.00 | \$ 430.63 |
| | | | \$1,325.00 | | | | | |
| Investor 76 | 8/8/2012 | FOCUSPlan | \$2,000.00 | 1/21/2013 | 6WR9FHAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 76 | 9/11/2013 | FOCUSPlan | \$2,000.00 | 1/28/2014 | 7ACIATAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 76 | 9/17/2014 | FOCUSPlan | \$1,550.00 | 12/15/2014 | 7O42JFAO | \$ 1,162.50 | \$ 620.00 | \$ 542.50 |
| Investor 76 | 9/16/2015 | FOCUSPlan | \$1,500.00 | 12/10/2015 | 84EYAAO | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 76 | 9/16/2015 | Investment Planning | \$1,000.00 | 12/10/2015 | 84EYAAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 76 | 9/17/2014 | Investment Planning | \$1,500.00 | 12/15/2014 | 7O42JFAO | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 76 | 9/11/2013 | Investment Planning | \$1,500.00 | 1/28/2014 | 7ACIATAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 76 | 8/8/2012 | Investment Planning | \$1,500.00 | 1/21/2013 | 6WR9FHAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 76 | 9/16/2015 | Wealth Forecasting | \$750.00 | 12/10/2015 | 84EYAAO | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| | | | \$13,300.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 77 | 4/1/2010 | Investment Planning | \$1,500.00 | 8/2/2010 | 65X92RA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 77 | 4/4/2011 | FOCUSPlan | \$1,225.00 | 9/29/2011 | 6PLLFA0 | \$ 1,078.00 | \$ 490.00 | \$ 588.00 |
| Investor 77 | 3/31/2012 | Investment Planning | \$1,900.00 | 9/28/2012 | 6OHVTEA0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 77 | 3/11/2013 | Investment Planning | \$1,870.00 | 8/23/2013 | 740MPDA0 | \$ 1,645.60 | \$ 748.00 | \$ 897.60 |
| Investor 77 | 4/3/2014 | Investment Planning | \$1,750.00 | 8/5/2014 | 7IFNH7A0 | \$ 1,312.50 | \$ 700.00 | \$ 612.50 |
| Investor 77 | 3/24/2015 | Investment Planning | \$1,650.00 | 9/18/2015 | 7VFM87A0 | \$ 1,196.25 | \$ 660.00 | \$ 536.25 |
| Investor 77 | 3/31/2016 | Investment Planning | \$1,500.00 | 7/15/2016 | 8AAFKFA0 | \$ 1,050.00 | \$ 600.00 | \$ 450.00 |
| Investor 77 | 4/4/2011 | Investment Planning | \$1,000.00 | 9/29/2011 | 6PLLFA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 77 | 4/1/2010 | Wealth Forecasting | \$525.00 | 8/2/2010 | 65X92RA0 | \$ 462.00 | \$ 210.00 | \$ 252.00 |
| Investor 77 | 4/7/2008 | Strategy Other | \$900.00 | 8/6/2008 | 16182901 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 77 | 4/3/2009 | FOCUSPlan | \$700.00 | 9/29/2009 | 17469301 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 77 | 4/3/2009 | Investment Planning | \$1,000.00 | 9/29/2009 | 17469301 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$15,520.00 | | | | | |
| Investor 78 | 2/11/2010 | FOCUSPlan | \$800.00 | 7/20/2010 | 64GVZXA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 79 | 7/24/2009 | FOCUSPlan | \$1,500.00 | 10/13/2009 | 602YCZA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/19/2010 | FOCUSPlan | \$1,900.00 | 1/6/2011 | 67TFZAA0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 79 | 7/5/2011 | FOCUSPlan | \$2,500.00 | 10/18/2011 | 6HI3DBA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 79 | 7/12/2012 | FOCUSPlan | \$2,500.00 | 12/10/2012 | 6TZ41LA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 79 | 7/12/2013 | FOCUSPlan | \$2,500.00 | 1/21/2014 | 78Y2W2A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 79 | 7/7/2014 | FOCUSPlan | \$2,500.00 | 11/10/2014 | 7KO92MA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 79 | 7/7/2014 | Investment Planning | \$2,500.00 | 11/10/2014 | 7KO92MA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 79 | 7/12/2013 | Investment Planning | \$1,500.00 | 1/21/2014 | 78Y2W2A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/12/2012 | Investment Planning | \$1,500.00 | 12/10/2012 | 6TZ41LA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/5/2011 | Investment Planning | \$1,500.00 | 10/18/2011 | 6HI3DBA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/19/2010 | Investment Planning | \$1,500.00 | 1/6/2011 | 67TFZAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/24/2009 | Investment Planning | \$1,500.00 | 10/13/2009 | 602YCZA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/24/2009 | Estate Planning | \$2,000.00 | 10/13/2009 | 602YCZA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 79 | 7/19/2010 | Wealth Forecasting | \$1,000.00 | 1/6/2011 | 67TFZAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 79 | 7/5/2011 | Wealth Forecasting | \$1,000.00 | 10/18/2011 | 6HI3DBA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 79 | 7/12/2012 | Wealth Forecasting | \$1,000.00 | 12/10/2012 | 6TZ41LA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 79 | 7/12/2013 | Wealth Forecasting | \$1,000.00 | 1/21/2014 | 78Y2W2A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 79 | 7/7/2014 | Wealth Forecasting | \$1,000.00 | 11/10/2014 | 7KO92MA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 79 | 7/7/2014 | Estate Planning | \$1,800.00 | 11/10/2014 | 7KO92MA0 | \$ 1,350.00 | \$ 720.00 | \$ 630.00 |
| Investor 79 | 7/12/2013 | Estate Planning | \$1,200.00 | 1/21/2014 | 78Y2W2A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 79 | 7/12/2012 | Estate Planning | \$1,200.00 | 12/10/2012 | 6TZ41LA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 79 | 7/5/2011 | Estate Planning | \$1,600.00 | 10/18/2011 | 6HI3DBA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 79 | 7/19/2010 | Estate Planning | \$1,500.00 | 1/6/2011 | 67TFZAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 79 | 7/20/2007 | Strategy Other | \$4,500.00 | 1/18/2008 | 15170301 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 79 | 7/14/2008 | FOCUSPlan Other | \$2,000.00 | 10/16/2008 | 16503301 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 79 | 7/14/2008 | Strategy Other | \$3,500.00 | 10/16/2008 | 16503301 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| | | | \$47,700.00 | | | | | |
| Investor 80 | 12/8/2009 | Investment Planning | \$1,500.00 | 6/8/2010 | 6327ALA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 80 | 12/9/2010 | Investment Planning | \$1,500.00 | 6/6/2011 | 6DE3ZXA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 80 | 12/8/2011 | Investment Planning | \$1,750.00 | 5/29/2012 | 6MJU8BA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 80 | 12/11/2012 | Investment Planning | \$1,400.00 | 6/12/2013 | 720TWOA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 80 | 12/11/2012 | Wealth Forecasting | \$500.00 | 6/12/2013 | 720TWOA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 80 | 12/8/2011 | Wealth Forecasting | \$500.00 | 5/29/2012 | 6MJU8BA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 80 | 12/9/2010 | Wealth Forecasting | \$500.00 | 6/6/2011 | 6DE3ZXA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 80 | 12/8/2009 | Wealth Forecasting | \$800.00 | 6/8/2010 | 6327ALAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 80 | 12/9/2010 | Estate Planning | \$775.00 | 6/6/2011 | 6DE3ZXA0 | \$ 682.00 | \$ 310.00 | \$ 372.00 |
| Investor 80 | 12/8/2011 | Estate Planning | \$800.00 | 5/29/2012 | 6MJU8BA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 80 | 12/11/2012 | Estate Planning | \$700.00 | 6/12/2013 | 720TWOAO | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 80 | 8/23/2007 | Strategy Other | \$2,500.00 | 2/21/2008 | 15311201 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 80 | 12/4/2008 | Strategy Other | \$2,970.00 | 6/10/2009 | 16990901 | \$ 2,613.60 | \$ 1,188.00 | \$ 1,425.60 |
| | | | \$16,195.00 | | | | | |
| Investor 81 | 10/9/2014 | FOCUSPlan | \$1,800.00 | 2/20/2015 | 7PCNVBA0 | \$ 1,350.00 | \$ 720.00 | \$ 630.00 |
| Investor 81 | 10/9/2014 | Investment Planning | \$2,000.00 | 2/20/2015 | 7PCNVBA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 81 | 10/9/2014 | Wealth Forecasting | \$750.00 | 2/20/2015 | 7PCNVBA0 | \$ 562.50 | \$ 300.00 | \$ 262.50 |
| | | | \$4,550.00 | | | | | |
| Investor 82 | 10/23/2009 | FOCUSPlan | \$1,300.00 | 2/16/2010 | 623NPLAO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 82 | 10/19/2010 | FOCUSPlan | \$2,000.00 | 2/24/2011 | 6CD493AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 82 | 10/11/2011 | FOCUSPlan | \$2,500.00 | 2/14/2012 | 6LLWIKAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 82 | 10/11/2012 | FOCUSPlan | \$2,000.00 | 3/28/2013 | 6ZWVVGAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 82 | 10/10/2013 | FOCUSPlan | \$2,055.00 | 2/20/2014 | 7ECHNNAO | \$ 1,808.40 | \$ 822.00 | \$ 986.40 |
| Investor 82 | 10/8/2015 | FOCUSPlan | \$1,800.00 | 2/5/2016 | 85HSS9AO | \$ 1,305.00 | \$ 720.00 | \$ 585.00 |
| Investor 82 | 10/8/2015 | Investment Planning | \$2,000.00 | 2/5/2016 | 85HSS9AO | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 82 | 10/10/2013 | Investment Planning | \$2,000.00 | 2/20/2014 | 7ECHNNAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 82 | 10/11/2012 | Investment Planning | \$2,000.00 | 3/28/2013 | 6ZWVVGAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 82 | 10/11/2011 | Investment Planning | \$2,000.00 | 2/14/2012 | 6LLWIKAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 82 | 10/19/2010 | Investment Planning | \$1,500.00 | 2/24/2011 | 6CD493AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 82 | 10/23/2009 | Investment Planning | \$1,500.00 | 2/16/2010 | 623NPLAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 82 | 10/23/2009 | Wealth Forecasting | \$1,000.00 | 2/16/2010 | 623NPLAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 82 | 10/19/2010 | Estate Planning | \$1,250.00 | 2/24/2011 | 6CD493AO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 82 | 10/11/2011 | Wealth Forecasting | \$835.00 | 2/14/2012 | 6LLWIKAO | \$ 734.80 | \$ 334.00 | \$ 400.80 |
| Investor 82 | 10/11/2012 | Wealth Forecasting | \$935.00 | 3/28/2013 | 6ZWVVGAO | \$ 822.80 | \$ 374.00 | \$ 448.80 |
| Investor 82 | 10/10/2013 | Wealth Forecasting | \$935.00 | 2/20/2014 | 7ECHNNAO | \$ 822.80 | \$ 374.00 | \$ 448.80 |
| Investor 82 | 10/8/2015 | Wealth Forecasting | \$750.00 | 2/5/2016 | 85HSS9AO | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| Investor 82 | 10/12/2007 | Strategy Other | \$3,650.00 | 2/12/2008 | 15491801 | \$ 3,212.00 | \$ 1,460.00 | \$ 1,752.00 |
| Investor 82 | 10/9/2008 | FOCUSPlan Other | \$1,200.00 | 3/2/2009 | 16810801 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 82 | 10/9/2008 | Strategy Other | \$3,500.00 | 3/2/2009 | 16810801 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| | | | \$36,710.00 | | | | | |
| Investor 83 | 4/5/2007 | FOCUSPlan Other | \$1,700.00 | 10/3/2007 | 14774601 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 83 | 4/5/2007 | Strategy Other | \$2,200.00 | 10/3/2007 | 14774601 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 83 | 3/26/2008 | Strategy Other | \$4,350.00 | 10/8/2008 | 16131401 | \$ 3,828.00 | \$ 1,740.00 | \$ 2,088.00 |
| | | | \$8,250.00 | | | | | |
| Investor 84 | 4/12/2010 | FOCUSPlan | \$2,000.00 | 9/28/2010 | 65JFOMA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 84 | 4/2/2011 | FOCUSPlan | \$2,000.00 | 9/22/2011 | 6FPOSKA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 84 | 3/28/2012 | FOCUSPlan | \$2,000.00 | 9/19/2012 | 6OFXY4AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 84 | 3/14/2013 | FOCUSPlan | \$2,000.00 | 8/20/2013 | 73YMA7AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 84 | 4/2/2014 | FOCUSPlan | \$1,000.00 | 6/25/2014 | 7IFNGXAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 84 | 3/23/2015 | FOCUSPlan | \$1,100.00 | 7/20/2015 | 8ALXKJAO | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 84 | 3/23/2015 | Wealth Forecasting | \$1,000.00 | 7/20/2015 | 8ALXKJAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 84 | 4/2/2014 | Investment Planning | \$1,000.00 | 6/25/2014 | 7IFNGXAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 84 | 3/14/2013 | Investment Planning | \$1,280.00 | 8/20/2013 | 73YMA7AO | \$ 1,126.40 | \$ 512.00 | \$ 614.40 |
| Investor 84 | 3/28/2012 | Investment Planning | \$1,775.00 | 9/19/2012 | 6OFXY4AO | \$ 1,562.00 | \$ 710.00 | \$ 852.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 84 | 4/2/2011 | Investment Planning | \$1,500.00 | 9/22/2011 | 6FPOSKAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 84 | 4/12/2010 | Investment Planning | \$1,500.00 | 9/28/2010 | 65UFOMA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 84 | 4/12/2010 | Estate Planning | \$900.00 | 9/28/2010 | 65UFOMA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 84 | 4/2/2011 | Wealth Forecasting | \$500.00 | 9/22/2011 | 6FPOSKAO | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 84 | 4/2/2014 | Wealth Forecasting | \$600.00 | 6/25/2014 | 7IFNGXAO | \$ 450.00 | \$ 240.00 | \$ 210.00 |
| Investor 84 | 4/2/2011 | Estate Planning | \$600.00 | 9/22/2011 | 6FPOSKAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 84 | 3/31/2009 | FOCUSPlan | \$1,850.00 | 8/20/2009 | 17400001 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 84 | 3/31/2009 | Investment Planning | \$1,500.00 | 8/20/2009 | 17400001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$24,105.00 | | | | | |
| Investor 85 | 3/16/2010 | Investment Planning | \$1,475.00 | 6/21/2010 | 65E2VUA0 | \$ 1,298.00 | \$ 590.00 | \$ 708.00 |
| Investor 85 | 3/21/2011 | Investment Planning | \$1,375.00 | 6/28/2011 | 6FGR4QA0 | \$ 1,210.00 | \$ 550.00 | \$ 660.00 |
| Investor 85 | 3/19/2012 | Investment Planning | \$975.00 | 9/19/2012 | 60BVTTA0 | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| Investor 85 | 3/18/2013 | Investment Planning | \$830.00 | 8/23/2013 | 740DLBA0 | \$ 730.40 | \$ 332.00 | \$ 398.40 |
| Investor 85 | 3/22/2014 | Investment Planning | \$650.00 | 6/9/2014 | 7IBR2KA0 | \$ 487.50 | \$ 260.00 | \$ 227.50 |
| Investor 85 | 3/25/2015 | Investment Planning | \$600.00 | 7/2/2015 | 7VGFCAA0 | \$ 435.00 | \$ 240.00 | \$ 195.00 |
| Investor 85 | 3/28/2016 | Investment Planning | \$500.00 | 8/2/2016 | 8AAFIWA0 | \$ 350.00 | \$ 200.00 | \$ 150.00 |
| Investor 85 | 4/5/2007 | Strategy Other | \$1,600.00 | 10/1/2007 | 14774801 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 85 | 4/7/2008 | Strategy Other | \$1,500.00 | 10/12/2008 | 16185301 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 85 | 4/7/2008 | Select Module | \$250.00 | 10/12/2008 | 16185301 | \$ 220.00 | \$ 100.00 | \$ 120.00 |
| Investor 85 | 3/23/2009 | Investment Planning | \$1,380.00 | 8/20/2009 | 17370501 | \$ 1,214.40 | \$ 552.00 | \$ 662.40 |
| | | | \$11,135.00 | | | | | |
| Investor 86 | 5/4/2010 | FOCUSPlan | \$1,700.00 | 8/9/2010 | 66F06XA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 86 | 8/26/2011 | Investment Planning | \$1,600.00 | 2/22/2012 | 6L1AD4A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 86 | 8/17/2012 | FOCUSPlan | \$2,550.00 | 1/29/2013 | 6WXDT7A0 | \$ 2,244.00 | \$ 1,020.00 | \$ 1,224.00 |
| Investor 86 | 8/1/2013 | Investment Planning | \$2,000.00 | 1/22/2014 | 79FQVQA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 86 | 8/20/2014 | Investment Planning | \$2,000.00 | 2/19/2015 | 7MERD8A0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 86 | 8/13/2015 | Investment Planning | \$2,000.00 | 11/16/2015 | 82YCRSA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 86 | 8/13/2015 | Wealth Forecasting | \$800.00 | 11/16/2015 | 82YCRSA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 86 | 8/20/2014 | Wealth Forecasting | \$700.00 | 2/19/2015 | 7MERD8A0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 86 | 8/1/2013 | Wealth Forecasting | \$770.00 | 1/22/2014 | 79FQVQA0 | \$ 677.60 | \$ 308.00 | \$ 369.60 |
| Investor 86 | 8/26/2011 | Wealth Forecasting | \$1,000.00 | 2/22/2012 | 6L1AD4A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$15,120.00 | | | | | |
| Investor 87 | 8/20/2012 | FOCUSPlan | \$1,100.00 | 3/1/2013 | 6WQLKMA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 87 | 11/25/2013 | FOCUSPlan | \$2,000.00 | 5/7/2014 | 7F8CPAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 87 | 1/5/2015 | FOCUSPlan | \$2,000.00 | 4/24/2015 | 7TOUEFA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 87 | 12/10/2015 | FOCUSPlan | \$2,000.00 | 5/27/2016 | 88DR2LA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 87 | 12/10/2015 | Investment Planning | \$1,100.00 | 5/27/2016 | 88DR2LA0 | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 87 | 1/5/2015 | Investment Planning | \$1,200.00 | 4/24/2015 | 7TOUEFA0 | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 87 | 11/25/2013 | Investment Planning | \$1,150.00 | 5/7/2014 | 7F8CPAA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| | | | \$10,550.00 | | | | | |
| Investor 88 | 8/28/2012 | FOCUSPlan | \$650.00 | 2/24/2013 | 6WU0Q8A0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 88 | 8/28/2013 | Investment Planning | \$650.00 | 2/3/2014 | 7A5I5LA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 88 | 8/12/2014 | Investment Planning | \$750.00 | 2/5/2015 | 7M3H5OA0 | \$ 562.50 | \$ 300.00 | \$ 262.50 |
| Investor 88 | 8/13/2015 | FOCUSPlan | \$950.00 | 2/5/2016 | 82YTLTA0 | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| Investor 88 | 4/27/2007 | FOCUSPlan Other | \$1,100.00 | 10/26/2007 | 14884501 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| | | | \$4,100.00 | | | | | |
| Investor 89 | 7/2/2013 | FOCUSPlan | \$750.00 | 1/6/2014 | 78O9W1A0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| | | | \$750.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 90 | 6/22/2014 | Start-up | \$550.00 | 12/15/2014 | 7KHJLCA0 | \$ 412.50 | \$ 220.00 | \$ 192.50 |
| Investor 90 | 10/15/2015 | Investment Planning | \$500.00 | 4/14/2016 | 85WNNEA0 | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| Investor 90 | 4/9/2008 | FOCUSPlan Other | \$500.00 | 6/25/2008 | 16354801 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| | | | \$1,550.00 | | | | | |
| Investor 91 | 9/26/2011 | FOCUSPlan | \$2,050.00 | 3/9/2012 | 6LEQ7YA0 | \$ 1,804.00 | \$ 820.00 | \$ 984.00 |
| Investor 91 | 9/27/2012 | FOCUSPlan | \$3,000.00 | 3/22/2013 | 62WVVS4A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 91 | 9/11/2013 | Investment Planning | \$2,500.00 | 1/27/2014 | 7AE62TA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 91 | 9/11/2013 | Wealth Forecasting | \$1,000.00 | 1/27/2014 | 7AE62TA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 91 | 9/27/2012 | Investment Planning | \$2,500.00 | 3/22/2013 | 62WVVS4A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 91 | 9/26/2011 | Investment Planning | \$2,500.00 | 3/9/2012 | 6LEQ7YA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 91 | 9/26/2011 | Wealth Forecasting | \$1,000.00 | 3/9/2012 | 6LEQ7YA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 91 | 9/27/2012 | Wealth Forecasting | \$700.00 | 3/22/2013 | 62WVVS4A0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 91 | 9/11/2013 | Estate Planning | \$2,000.00 | 1/27/2014 | 7AE62TA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 91 | 9/26/2011 | Estate Planning | \$2,000.00 | 3/9/2012 | 6LEQ7YA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$19,250.00 | | | | | |
| Investor 92 | 12/28/2009 | Investment Planning | \$1,400.00 | 4/5/2010 | 63EEJWA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 92 | 12/20/2010 | Investment Planning | \$1,200.00 | 5/16/2011 | 6DMSENA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 92 | 12/21/2011 | Investment Planning | \$1,800.00 | 3/23/2012 | 6MUU2SA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 92 | 12/18/2012 | Investment Planning | \$1,200.00 | 6/14/2013 | 72GYLLA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 92 | 6/16/2014 | Investment Planning | \$1,650.00 | 9/19/2014 | 7KGV4VA0 | \$ 1,237.50 | \$ 660.00 | \$ 777.50 |
| Investor 92 | 6/11/2015 | Investment Planning | \$1,600.00 | 9/28/2015 | 7YOYGDA0 | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 92 | 12/31/2007 | Strategy Other | \$1,450.00 | 5/15/2008 | 15801001 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 92 | 12/11/2008 | FOCUSPlan Other | \$700.00 | 5/26/2009 | 17008401 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 92 | 12/11/2008 | Strategy Other | \$1,000.00 | 5/26/2009 | 17008401 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$12,000.00 | | | | | |
| Investor 93 | 9/11/2009 | Investment Planning | \$925.00 | 3/5/2010 | 614PCGA0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 93 | 9/13/2010 | Investment Planning | \$925.00 | 12/27/2010 | 6BOX91A0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 93 | 9/14/2007 | Strategy Other | \$1,075.00 | 3/7/2008 | 15383601 | \$ 946.00 | \$ 430.00 | \$ 516.00 |
| Investor 93 | 9/11/2008 | Strategy Other | \$1,150.00 | 3/9/2009 | 16697901 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| | | | \$4,075.00 | | | | | |
| Investor 94 | 1/11/2013 | FOCUSPlan | \$1,100.00 | 7/3/2013 | 72N959A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 94 | 12/30/2013 | Investment Planning | \$1,140.00 | 5/13/2014 | 7GJ3JYA0 | \$ 1,003.20 | \$ 456.00 | \$ 547.20 |
| Investor 94 | 1/6/2015 | Investment Planning | \$1,175.00 | 6/5/2015 | 7T7CVNA0 | \$ 851.88 | \$ 470.00 | \$ 381.88 |
| Investor 94 | 12/4/2015 | FOCUSPlan | \$1,250.00 | 6/6/2016 | 88AEN3A0 | \$ 906.25 | \$ 500.00 | \$ 406.25 |
| | | | \$4,665.00 | | | | | |
| Investor 95 | 10/19/2009 | FOCUSPlan | \$1,600.00 | 4/8/2010 | 612020A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 95 | 10/25/2010 | FOCUSPlan | \$1,700.00 | 4/21/2011 | 6CF53UA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 95 | 10/17/2011 | Investment Planning | \$1,850.00 | 4/16/2012 | 6LRX2HA0 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 95 | 10/15/2012 | Investment Planning | \$1,650.00 | 4/4/2013 | 62WVK6A0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 95 | 10/7/2013 | Investment Planning | \$1,550.00 | 2/28/2014 | 7E8Y64A0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 95 | 10/20/2014 | Investment Planning | \$1,200.00 | 4/17/2015 | 7PU9PCA0 | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 95 | 10/19/2015 | Investment Planning | \$1,000.00 | 4/13/2016 | 8673NQA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 95 | 10/22/2007 | Strategy Other | \$2,300.00 | 4/23/2008 | 15531101 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 95 | 10/15/2008 | FOCUSPlan Other | \$1,100.00 | 4/22/2009 | 16827201 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 95 | 10/15/2008 | Strategy Other | \$850.00 | 4/22/2009 | 16827201 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| | | | \$14,800.00 | | | | | |
| Investor 96 | 11/17/2009 | Investment Planning | \$950.00 | 4/6/2010 | 62NJJ6A0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 96 | 11/9/2010 | Investment Planning | \$1,200.00 | 2/24/2011 | 6CSA7XA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|-------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 96 | 11/8/2011 | Investment Planning | \$1,400.00 | 5/2/2012 | 6M5U1A0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 96 | 11/30/2012 | Investment Planning | \$700.00 | 5/14/2013 | 712J86A0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 96 | 11/19/2013 | Investment Planning | \$1,600.00 | 4/8/2014 | 7F4E32A0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 96 | 11/18/2014 | Investment Planning | \$1,400.00 | 3/19/2015 | 7R3J21A0 | \$ 1,050.00 | \$ 560.00 | \$ 490.00 |
| Investor 96 | 11/10/2015 | Investment Planning | \$1,400.00 | 5/2/2016 | 874MRR0A | \$ 1,015.00 | \$ 560.00 | \$ 455.00 |
| Investor 96 | 11/13/2007 | Strategy Other | \$960.00 | 5/19/2008 | 15616801 | \$ 844.80 | \$ 384.00 | \$ 460.80 |
| Investor 96 | 11/18/2008 | Strategy Other | \$1,200.00 | 5/15/2009 | 16951001 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| | | | \$10,810.00 | | | | | |
| Investor 97 | 9/15/2009 | Tax-Sensitive | \$2,300.00 | 2/5/2010 | 6191FWA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 97 | 9/15/2010 | Detailed Cash Flow | \$3,200.00 | 3/8/2011 | 6BQA2EA0 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 97 | 9/22/2011 | FOCUSPlan | \$3,000.00 | 2/29/2012 | 6LCNBFA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 97 | 9/13/2012 | FOCUSPlan | \$3,000.00 | 3/15/2013 | 6X35P1A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 97 | 9/23/2013 | FOCUSPlan | \$3,000.00 | 3/17/2014 | 7DQH90A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 97 | 9/24/2014 | FOCUSPlan | \$3,000.00 | 2/26/2015 | 7O3ZYRA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 97 | 9/30/2015 | FOCUSPlan | \$2,000.00 | 2/12/2016 | 85DNK1A0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 97 | 9/30/2015 | Investment Planning | \$1,500.00 | 2/12/2016 | 85DNK1A0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 97 | 9/24/2014 | Investment Planning | \$1,550.00 | 2/26/2015 | 7O3ZYRA0 | \$ 1,162.50 | \$ 620.00 | \$ 542.50 |
| Investor 97 | 9/23/2013 | Investment Planning | \$2,400.00 | 3/17/2014 | 7DQH90A0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 97 | 9/13/2012 | Investment Planning | \$2,500.00 | 3/15/2013 | 6X35P1A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 97 | 9/22/2011 | Investment Planning | \$2,500.00 | 2/29/2012 | 6LCNBFA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 97 | 9/15/2010 | Investment Planning | \$1,500.00 | 3/8/2011 | 6BQA2EA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 97 | 9/15/2009 | Investment Planning | \$1,500.00 | 2/5/2010 | 6191FWA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 97 | 9/15/2009 | Wealth Forecasting | \$1,000.00 | 2/5/2010 | 6191FWA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 97 | 9/15/2010 | Wealth Forecasting | \$1,000.00 | 3/8/2011 | 6BQA2EA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 97 | 9/22/2011 | Wealth Forecasting | \$1,000.00 | 2/29/2012 | 6LCNBFA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 97 | 9/13/2012 | Wealth Forecasting | \$1,000.00 | 3/15/2013 | 6X35P1A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 97 | 9/23/2013 | Wealth Forecasting | \$1,000.00 | 3/17/2014 | 7DQH90A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 97 | 9/24/2014 | Wealth Forecasting | \$1,000.00 | 2/26/2015 | 7O3ZYRA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 97 | 9/30/2015 | Wealth Forecasting | \$1,000.00 | 2/12/2016 | 85DNK1A0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 97 | 9/22/2011 | Estate Planning | \$900.00 | 2/29/2012 | 6LCNBFA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 97 | 9/15/2010 | Estate Planning | \$2,000.00 | 3/8/2011 | 6BQA2EA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 97 | 9/15/2009 | Estate Planning | \$2,000.00 | 2/5/2010 | 6191FWA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 97 | 9/27/2007 | FOCUSPlan Other | \$2,700.00 | 3/7/2008 | 15433401 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| Investor 97 | 9/27/2007 | Strategy Other | \$4,500.00 | 3/7/2008 | 15433401 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 97 | 9/16/2008 | FOCUSPlan Other | \$2,700.00 | 3/2/2009 | 16723101 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| Investor 97 | 9/16/2008 | Strategy Other | \$4,500.00 | 3/2/2009 | 16723101 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$59,250.00 | | | | | |
| Investor 98 | 10/27/2009 | Investment Planning | \$1,300.00 | 3/15/2010 | 625NZE0A | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 98 | 10/21/2010 | Investment Planning | \$1,350.00 | 2/24/2011 | 6CD4BMA0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 98 | 10/27/2011 | Investment Planning | \$1,850.00 | 4/18/2012 | 6LY8U9A0 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 98 | 10/23/2012 | Investment Planning | \$1,700.00 | 4/24/2013 | 7O2WJOA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 98 | 10/8/2013 | Investment Planning | \$1,650.00 | 3/18/2014 | 7EAR40A0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 98 | 10/7/2014 | Investment Planning | \$1,350.00 | 3/19/2015 | 7OVXHCA0 | \$ 1,012.50 | \$ 540.00 | \$ 472.50 |
| Investor 98 | 10/12/2015 | Investment Planning | \$1,150.00 | 3/23/2016 | 85VQ2BA0 | \$ 833.75 | \$ 460.00 | \$ 373.75 |
| Investor 98 | 10/29/2007 | Strategy Other | \$1,500.00 | 5/1/2008 | 15554701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 98 | 10/7/2008 | FOCUSPlan Other | \$1,700.00 | 3/23/2009 | 16808501 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| | | | \$13,550.00 | | | | | |
| Investor 99 | 12/10/2009 | FOCUSPlan | \$1,250.00 | 4/26/2010 | 637DK1A0 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 99 | 12/7/2010 | FOCUSPlan | \$1,000.00 | 5/16/2011 | 6DA354A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 99 | 12/13/2011 | FOCUSPlan | \$1,150.00 | 4/18/2012 | 6MM35EA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 99 | 11/19/2012 | FOCUSPlan | \$1,150.00 | 5/7/2013 | 711N86A0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 99 | 12/31/2013 | Investment Planning | \$2,325.00 | 3/11/2014 | 7GJUSZA0 | \$ 2,046.00 | \$ 930.00 | \$ 1,116.00 |
| Investor 99 | 12/9/2014 | Investment Planning | \$1,825.00 | 3/19/2015 | 7SBB1QA0 | \$ 1,368.75 | \$ 730.00 | \$ 638.75 |
| Investor 99 | 12/8/2015 | Investment Planning | \$1,500.00 | 3/23/2016 | 88BI44A0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 99 | 11/19/2012 | Investment Planning | \$1,500.00 | 5/7/2013 | 711N86A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 99 | 12/13/2011 | Investment Planning | \$1,500.00 | 4/18/2012 | 6MM35EA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 99 | 12/7/2010 | Investment Planning | \$1,500.00 | 5/16/2011 | 6DA354A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 99 | 12/10/2009 | Investment Planning | \$1,500.00 | 4/26/2010 | 637DK1A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 99 | 12/7/2010 | Wealth Forecasting | \$500.00 | 5/16/2011 | 6DA354A0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 99 | 12/13/2011 | Wealth Forecasting | \$500.00 | 4/18/2012 | 6MM35EA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 99 | 12/6/2007 | Strategy Other | \$3,150.00 | 5/15/2008 | 15711001 | \$ 2,772.00 | \$ 1,260.00 | \$ 1,512.00 |
| Investor 99 | 12/11/2008 | Strategy Other | \$3,550.00 | 5/26/2009 | 17008301 | \$ 3,124.00 | \$ 1,420.00 | \$ 1,704.00 |
| | | | \$23,900.00 | | | | | |
| Investor 100 | 4/21/2010 | Tax-Sensitive | \$2,900.00 | 8/2/2010 | 661FT9A0 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 100 | 4/20/2011 | FOCUSPlan | \$2,900.00 | 9/28/2011 | 6G02DVA0 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 100 | 4/18/2012 | FOCUSPlan | \$1,300.00 | 10/8/2012 | 60Q826A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 100 | 4/11/2013 | FOCUSPlan | \$2,900.00 | 10/9/2013 | 753G5FA0 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 100 | 4/23/2014 | FOCUSPlan | \$2,300.00 | 7/8/2014 | 7IPG7PA0 | \$ 1,725.00 | \$ 920.00 | \$ 805.00 |
| Investor 100 | 7/14/2015 | FOCUSPlan | \$2,200.00 | 10/30/2015 | 809JTMMA0 | \$ 1,595.00 | \$ 880.00 | \$ 715.00 |
| Investor 100 | 7/14/2015 | Investment Planning | \$1,000.00 | 10/30/2015 | 809JTMMA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 100 | 4/23/2014 | Investment Planning | \$1,000.00 | 7/8/2014 | 7IPG7PA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 100 | 4/11/2013 | Investment Planning | \$1,000.00 | 10/9/2013 | 753G5FA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/18/2012 | Investment Planning | \$2,000.00 | 10/8/2012 | 60Q826A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 100 | 4/20/2011 | Investment Planning | \$1,600.00 | 9/28/2011 | 6G02DVA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 100 | 4/21/2010 | Investment Planning | \$1,500.00 | 8/2/2010 | 661FT9A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 100 | 4/21/2010 | Wealth Forecasting | \$1,000.00 | 8/2/2010 | 661FT9A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/20/2011 | Wealth Forecasting | \$1,000.00 | 9/28/2011 | 6G02DVA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/18/2012 | Wealth Forecasting | \$1,000.00 | 10/8/2012 | 60Q826A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/11/2013 | Wealth Forecasting | \$1,000.00 | 10/9/2013 | 753G5FA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/23/2014 | Wealth Forecasting | \$1,000.00 | 7/8/2014 | 7IPG7PA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 100 | 7/14/2015 | Wealth Forecasting | \$1,000.00 | 10/30/2015 | 809JTMMA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 100 | 4/23/2014 | Estate Planning | \$1,000.00 | 7/8/2014 | 7IPG7PA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 100 | 4/11/2013 | Estate Planning | \$2,000.00 | 10/9/2013 | 753G5FA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 100 | 4/18/2012 | Estate Planning | \$2,000.00 | 10/8/2012 | 60Q826A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 100 | 4/20/2011 | Estate Planning | \$2,000.00 | 9/28/2011 | 6G02DVA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 100 | 4/21/2010 | Estate Planning | \$2,000.00 | 8/2/2010 | 661FT9A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 100 | 4/16/2007 | FOCUSPlan Other | \$4,000.00 | 10/10/2007 | 14821701 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| Investor 100 | 4/16/2007 | Strategy Other | \$4,500.00 | 10/10/2007 | 14821701 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 100 | 4/22/2008 | FOCUSPlan Other | \$3,600.00 | 11/3/2008 | 16235501 | \$ 3,168.00 | \$ 1,440.00 | \$ 1,728.00 |
| Investor 100 | 4/22/2008 | Strategy Other | \$4,500.00 | 11/3/2008 | 16235501 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 100 | 4/16/2009 | Detailed Cash Flow | \$2,300.00 | 10/5/2009 | 17443701 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 100 | 4/16/2009 | Investment Planning | \$1,500.00 | 10/5/2009 | 17443701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 100 | 4/16/2009 | Wealth Forecasting | \$1,000.00 | 10/5/2009 | 17443701 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 100 | 4/16/2009 | Estate Planning | \$2,000.00 | 10/5/2009 | 17443701 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$61,000.00 | | | | | |
| Investor 101 | 10/26/2009 | Investment Planning | \$1,050.00 | 3/17/2010 | 626L97A0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 101 | 2/7/2011 | Investment Planning | \$1,300.00 | 6/6/2011 | 6EHBSQAO | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 101 | 2/16/2012 | Investment Planning | \$1,200.00 | 8/2/2012 | 6NPT17AO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 101 | 2/13/2013 | Investment Planning | \$1,100.00 | 7/25/2013 | 73B7U5AO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 101 | 2/13/2014 | Investment Planning | \$1,000.00 | 8/5/2014 | 7HLP5QAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 101 | 2/11/2015 | Investment Planning | \$900.00 | 6/15/2015 | 7U200BAO | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 101 | 2/10/2016 | Investment Planning | \$600.00 | 6/30/2016 | 896RPZAO | \$ 420.00 | \$ 240.00 | \$ 180.00 |
| | | | \$7,150.00 | | | | | |
| Investor 102 | 2/8/2010 | Investment Planning | \$580.00 | 6/18/2010 | 64FBBZAO | \$ 510.40 | \$ 232.00 | \$ 278.40 |
| Investor 102 | 7/27/2012 | FOCUSPlan | \$660.00 | 1/21/2013 | 6WE97BAO | \$ 580.80 | \$ 264.00 | \$ 316.80 |
| Investor 102 | 9/6/2013 | Investment Planning | \$680.00 | 2/3/2014 | 7AALFTAO | \$ 598.40 | \$ 272.00 | \$ 326.40 |
| Investor 102 | 9/19/2014 | Investment Planning | \$650.00 | 3/19/2015 | 7NPXHPAO | \$ 487.50 | \$ 260.00 | \$ 227.50 |
| | | | \$2,570.00 | | | | | |
| Investor 103 | 2/19/2015 | FOCUSPlan | \$0.00 | 8/7/2015 | 7U88FCAO | \$ - | \$ - | \$ - |
| | | | \$0.00 | | | | | |
| Investor 104 | 3/11/2010 | FOCUSPlan | \$1,700.00 | 9/10/2010 | 653BOEAO | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 104 | 3/10/2011 | FOCUSPlan | \$1,850.00 | 9/1/2011 | 6FA6P9AO | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 104 | 3/8/2012 | FOCUSPlan | \$1,600.00 | 9/6/2012 | 604A1TAO | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 104 | 3/7/2013 | Investment Planning | \$1,550.00 | 8/1/2013 | 73Q9SDAO | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 104 | 3/6/2014 | Investment Planning | \$1,400.00 | 7/16/2014 | 7HYSZLAO | \$ 1,050.00 | \$ 560.00 | \$ 490.00 |
| Investor 104 | 3/5/2015 | Investment Planning | \$1,250.00 | 9/8/2015 | 7UQZUDAO | \$ 906.25 | \$ 500.00 | \$ 406.25 |
| Investor 104 | 2/29/2016 | Investment Planning | \$1,100.00 | 7/15/2016 | 89DQUEAO | \$ 770.00 | \$ 440.00 | \$ 330.00 |
| Investor 104 | 3/12/2007 | Strategy Other | \$1,200.00 | 3/14/2007 | 14668201 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 104 | 3/14/2008 | Strategy Other | \$1,900.00 | 10/12/2008 | 16091301 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 104 | 3/12/2009 | Investment Planning | \$1,500.00 | 7/6/2009 | 17304201 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$15,050.00 | | | | | |
| Investor 105 | 10/2/2009 | FOCUSPlan | \$1,400.00 | 1/11/2010 | 61LA7YAO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 105 | 5/27/2011 | Investment Planning | \$600.00 | 10/24/2011 | 6GOXMQAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 105 | 4/20/2012 | Investment Planning | \$450.00 | 10/18/2012 | 6OVJ4WAO | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 105 | 9/25/2013 | Investment Planning | \$450.00 | 2/28/2014 | 7DQHC3AO | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 105 | 2/25/2015 | Investment Planning | \$450.00 | 7/2/2015 | 7U9REYAO | \$ 326.25 | \$ 180.00 | \$ 146.25 |
| | | | \$3,350.00 | | | | | |
| Investor 106 | 5/24/2010 | Investment Planning | \$1,500.00 | 11/5/2010 | 66VUSMAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 106 | 10/25/2012 | Investment Planning | \$1,250.00 | 4/12/2013 | 704ERCAO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 106 | 5/24/2010 | Wealth Forecasting | \$1,000.00 | 11/5/2010 | 66VUSMAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 106 | 2/22/2008 | Strategy Other | \$2,450.00 | 2/21/2008 | 16003801 | \$ 2,156.00 | \$ 980.00 | \$ 1,176.00 |
| Investor 106 | 6/12/2008 | FOCUSPlan Other | \$1,490.00 | 12/3/2008 | 16441101 | \$ 1,311.20 | \$ 596.00 | \$ 715.20 |
| Investor 106 | 6/12/2008 | Strategy Other | \$1,500.00 | 12/3/2008 | 16441101 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 106 | 5/18/2009 | Investment Planning | \$1,500.00 | 11/18/2009 | 17542501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 106 | 5/18/2009 | Wealth Forecasting | \$800.00 | 11/18/2009 | 17542501 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$11,490.00 | | | | | |
| Investor 107 | 8/21/2009 | Detailed Cash Flow | \$2,300.00 | 12/28/2009 | 60TYGQAO | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 107 | 8/24/2010 | Detailed Cash Flow | \$3,500.00 | 1/13/2011 | 6AC9KTAO | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 107 | 8/31/2011 | Detailed Cash Flow | \$3,500.00 | 2/14/2012 | 6KZ3UAAO | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 107 | 8/24/2012 | Detailed Cash Flow | \$3,200.00 | 1/29/2013 | 6WUOCLA0 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 107 | 9/5/2013 | Detailed Cash Flow | \$3,000.00 | 1/27/2014 | 7A9FRHAO | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 107 | 8/1/2014 | FOCUSPlan | \$2,500.00 | 10/30/2014 | 7LRBKEAO | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 107 | 8/29/2007 | Investment Planning | \$5,400.00 | 2/27/2008 | 8ALXLEAO | \$ 4,752.00 | \$ 2,160.00 | \$ 2,592.00 |
| Investor 107 | 8/7/2015 | Tax-Sensitive | \$4,000.00 | 12/1/2015 | 8ALXM3AO | \$ 2,900.00 | \$ 1,600.00 | \$ 1,300.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 107 | 8/7/2015 | Investment Planning | \$2,500.00 | 12/1/2015 | 8ALXM3AO | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 107 | 8/1/2014 | Investment Planning | \$1,500.00 | 10/30/2014 | 7LRBKEAO | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 107 | 9/5/2013 | Investment Planning | \$1,500.00 | 1/27/2014 | 7A9FRHAAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 107 | 8/24/2012 | Investment Planning | \$1,500.00 | 1/29/2013 | 6WUOCLA | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 107 | 8/31/2011 | Investment Planning | \$2,100.00 | 2/14/2012 | 6KZ3UAAO | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 107 | 8/24/2010 | Investment Planning | \$1,500.00 | 1/13/2011 | 6AC9KTAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 107 | 8/21/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 60TYGQAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 107 | 8/21/2009 | Wealth Forecasting | \$1,000.00 | 12/28/2009 | 60TYGQAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 107 | 8/24/2010 | Wealth Forecasting | \$1,000.00 | 1/13/2011 | 6AC9KTAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 107 | 8/31/2011 | Wealth Forecasting | \$1,000.00 | 2/14/2012 | 6KZ3UAAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 107 | 8/24/2012 | Wealth Forecasting | \$1,000.00 | 1/29/2013 | 6WUOCLA | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 107 | 9/5/2013 | Wealth Forecasting | \$1,000.00 | 1/27/2014 | 7A9FRHAAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 107 | 8/1/2014 | Wealth Forecasting | \$1,000.00 | 10/30/2014 | 7LRBKEAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 107 | 8/7/2015 | Wealth Forecasting | \$1,000.00 | 12/1/2015 | 8ALXM3AO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 107 | 8/7/2015 | Estate Planning | \$2,000.00 | 12/1/2015 | 8ALXM3AO | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 107 | 8/1/2014 | Estate Planning | \$2,000.00 | 10/30/2014 | 7LRBKEAO | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 107 | 9/5/2013 | Estate Planning | \$2,000.00 | 1/27/2014 | 7A9FRHAAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 107 | 8/24/2012 | Estate Planning | \$2,000.00 | 1/29/2013 | 6WUOCLA | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 107 | 8/31/2011 | Estate Planning | \$2,000.00 | 2/14/2012 | 6KZ3UAAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 107 | 8/24/2010 | Estate Planning | \$2,000.00 | 1/13/2011 | 6AC9KTAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 107 | 8/21/2009 | Estate Planning | \$2,000.00 | 12/28/2009 | 60TYGQAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 107 | 8/22/2008 | FOCUSPlan Other | \$2,700.00 | 2/27/2009 | 16655501 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| Investor 107 | 8/22/2008 | Strategy Other | \$4,500.00 | 2/27/2009 | 16655501 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$67,700.00 | | | | | |
| Investor 108 | 9/28/2009 | Investment Planning | \$980.00 | 3/11/2010 | 61K25DAO | \$ 862.40 | \$ 392.00 | \$ 470.40 |
| Investor 108 | 9/28/2010 | Investment Planning | \$750.00 | 1/26/2011 | 6BYE6ZAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 108 | 9/28/2011 | Investment Planning | \$530.00 | 2/29/2012 | 6LGMY9AO | \$ 466.40 | \$ 212.00 | \$ 254.40 |
| Investor 108 | 11/6/2007 | FOCUSPlan Other | \$1,230.00 | 4/29/2008 | 15591301 | \$ 1,082.40 | \$ 492.00 | \$ 590.40 |
| Investor 108 | 9/8/2008 | Strategy Other | \$1,250.00 | 3/10/2009 | 16698301 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| | | | \$4,740.00 | | | | | |
| Investor 109 | 8/17/2009 | Investment Planning | \$900.00 | 12/28/2009 | 60LDTHAO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 109 | 9/10/2007 | Strategy Other | \$900.00 | 3/5/2008 | 15363101 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$1,800.00 | | | | | |
| Investor 110 | 8/11/2009 | FOCUSPlan | \$2,000.00 | 12/8/2009 | 60I3W7AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 110 | 8/23/2010 | FOCUSPlan | \$800.00 | 12/9/2010 | 6AKZXNAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 110 | 8/23/2010 | Investment Planning | \$1,500.00 | 12/9/2010 | 6AKZXNAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 110 | 8/11/2009 | Investment Planning | \$1,500.00 | 12/8/2009 | 60I3W7AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 110 | 8/11/2009 | Wealth Forecasting | \$1,000.00 | 12/8/2009 | 60I3W7AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 110 | 8/23/2010 | Wealth Forecasting | \$1,000.00 | 12/9/2010 | 6AKZXNAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 110 | 8/23/2010 | Estate Planning | \$2,000.00 | 12/9/2010 | 6AKZXNAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 110 | 8/11/2009 | Estate Planning | \$450.00 | 12/8/2009 | 60I3W7AO | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 110 | 6/28/2007 | FOCUSPlan Other | \$2,000.00 | 12/28/2007 | 15098301 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 110 | 6/28/2007 | Strategy Other | \$4,500.00 | 12/28/2007 | 15098301 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 110 | 7/11/2008 | FOCUSPlan Other | \$3,000.00 | 1/23/2009 | 16519801 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 110 | 7/11/2008 | Strategy Other | \$3,600.00 | 1/23/2009 | 16519801 | \$ 3,168.00 | \$ 1,440.00 | \$ 1,728.00 |
| | | | \$23,350.00 | | | | | |
| Investor 111 | 5/13/2013 | FOCUSPlan | \$500.00 | 10/21/2013 | 75WGMHAAO | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 111 | 6/9/2014 | FOCUSPlan | \$2,465.00 | 12/23/2014 | 7KJNO0AAO | \$ 1,848.75 | \$ 986.00 | \$ 862.75 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 111 | 6/10/2015 | Investment Planning | \$2,400.00 | 10/12/2015 | 7YOGN6A0 | \$ 1,740.00 | \$ 960.00 | \$ 780.00 |
| Investor 111 | 3/6/2009 | FOCUSPlan | \$900.00 | 8/6/2009 | 17292401 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$6,265.00 | | | | | |
| Investor 112 | 5/9/2012 | FOCUSPlan | \$900.00 | 11/6/2012 | 6P1IP2A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 112 | 12/14/2012 | Investment Planning | \$1,050.00 | 6/6/2013 | 728OKMA0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 112 | 12/13/2013 | Investment Planning | \$1,800.00 | 6/12/2014 | 7FJFBTA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 112 | 12/12/2014 | Investment Planning | \$1,700.00 | 5/22/2015 | 7SM7LFA0 | \$ 1,275.00 | \$ 680.00 | \$ 595.00 |
| Investor 112 | 1/6/2016 | FOCUSPlan | \$1,700.00 | 7/7/2016 | 88KJG8A0 | \$ 1,190.00 | \$ 680.00 | \$ 510.00 |
| Investor 112 | 1/6/2016 | Investment Planning | \$1,000.00 | 7/7/2016 | 88KJG8A0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| | | | \$8,150.00 | | | | | |
| Investor 113 | 7/21/2010 | FOCUSPlan | \$2,000.00 | 1/14/2011 | 67XEOVA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 113 | 8/4/2011 | FOCUSPlan | \$3,000.00 | 10/7/2011 | 6KJCM3A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 113 | 7/11/2012 | FOCUSPlan | \$2,400.00 | 12/10/2012 | 6TXVYGA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 113 | 7/17/2013 | FOCUSPlan | \$2,200.00 | 1/21/2014 | 792Q7BA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 113 | 7/8/2014 | Investment Planning | \$2,000.00 | 12/16/2014 | 7KO94QA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 113 | 7/8/2015 | FOCUSPlan | \$1,700.00 | 10/30/2015 | 7ZYU66A0 | \$ 1,232.50 | \$ 680.00 | \$ 552.50 |
| Investor 113 | 7/8/2015 | Investment Planning | \$1,700.00 | 10/30/2015 | 7ZYU66A0 | \$ 1,232.50 | \$ 680.00 | \$ 552.50 |
| Investor 113 | 7/8/2014 | FOCUSPlan | \$1,700.00 | 12/16/2014 | 7KO94QA0 | \$ 1,275.00 | \$ 680.00 | \$ 595.00 |
| Investor 113 | 7/17/2013 | Investment Planning | \$2,000.00 | 1/21/2014 | 792Q7BA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 113 | 7/11/2012 | Investment Planning | \$2,000.00 | 12/10/2012 | 6TXVYGA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 113 | 8/4/2011 | Investment Planning | \$2,100.00 | 10/7/2011 | 6KJCM3A0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 113 | 7/21/2010 | Investment Planning | \$1,500.00 | 1/14/2011 | 67XEOVA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 113 | 7/21/2010 | Wealth Forecasting | \$800.00 | 1/14/2011 | 67XEOVA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 113 | 7/21/2010 | Estate Planning | \$500.00 | 1/14/2011 | 67XEOVA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 113 | 7/26/2007 | FOCUSPlan Other | \$1,450.00 | 1/25/2008 | 15201001 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 113 | 7/26/2007 | Strategy Other | \$3,500.00 | 1/25/2008 | 15201001 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 113 | 7/14/2008 | FOCUSPlan Other | \$2,000.00 | 1/23/2009 | 16503201 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 113 | 7/14/2008 | Strategy Other | \$3,800.00 | 1/23/2009 | 16503201 | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| Investor 113 | 7/15/2009 | FOCUSPlan | \$2,000.00 | 10/13/2009 | 17701401 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 113 | 7/15/2009 | Investment Planning | \$1,500.00 | 10/13/2009 | 17701401 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 113 | 7/15/2009 | Wealth Forecasting | \$1,000.00 | 10/13/2009 | 17701401 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$40,850.00 | | | | | |
| Investor 114 | 9/11/2009 | Investment Planning | \$570.00 | 2/25/2010 | 614P1QA0 | \$ 501.60 | \$ 228.00 | \$ 273.60 |
| Investor 114 | 9/10/2010 | Investment Planning | \$760.00 | 2/14/2011 | 6BOX59A0 | \$ 668.80 | \$ 304.00 | \$ 364.80 |
| Investor 114 | 9/9/2011 | Investment Planning | \$950.00 | 3/5/2012 | 6L77OPA0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 114 | 9/17/2012 | Investment Planning | \$875.00 | 3/4/2013 | 6X4FYTA0 | \$ 770.00 | \$ 350.00 | \$ 420.00 |
| Investor 114 | 9/13/2013 | Investment Planning | \$925.00 | 2/28/2014 | 7AE662A0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 114 | 9/12/2014 | Investment Planning | \$875.00 | 3/19/2015 | 7NR96ZA0 | \$ 656.25 | \$ 350.00 | \$ 306.25 |
| Investor 114 | 9/9/2008 | Strategy Other | \$675.00 | 12/29/2008 | 16690501 | \$ 594.00 | \$ 270.00 | \$ 324.00 |
| | | | \$5,630.00 | | | | | |
| Investor 115 | 12/15/2009 | Investment Planning | \$1,500.00 | 6/8/2010 | 63632EA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 115 | 11/29/2010 | FOCUSPlan | \$1,500.00 | 5/27/2011 | 6D2ECBA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 115 | 12/15/2011 | FOCUSPlan | \$1,725.00 | 5/16/2012 | 6MN4DBA0 | \$ 1,518.00 | \$ 690.00 | \$ 828.00 |
| Investor 115 | 11/13/2012 | FOCUSPlan | \$1,600.00 | 5/6/2013 | 7OHOUQA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 115 | 11/13/2013 | FOCUSPlan | \$2,000.00 | 4/8/2014 | 7F4LSAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 115 | 11/25/2014 | FOCUSPlan | \$2,000.00 | 5/26/2015 | 7RN9GOA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 115 | 11/20/2015 | FOCUSPlan | \$1,500.00 | 5/13/2016 | 875DBAA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 115 | 11/20/2015 | Investment Planning | \$750.00 | 5/13/2016 | 875DBAA0 | \$ 543.75 | \$ 300.00 | \$ 243.75 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 115 | 11/25/2014 | Investment Planning | \$1,000.00 | 5/26/2015 | 7RN9GOAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 115 | 11/13/2013 | Investment Planning | \$1,250.00 | 4/8/2014 | 7F4LSAAO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 115 | 11/13/2012 | Investment Planning | \$1,600.00 | 5/6/2013 | 7OHOUQAO | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 115 | 12/15/2011 | Investment Planning | \$1,725.00 | 5/16/2012 | 6MN4D8AO | \$ 1,518.00 | \$ 690.00 | \$ 828.00 |
| Investor 115 | 11/29/2010 | Investment Planning | \$1,500.00 | 5/27/2011 | 6D2ECBAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 115 | 12/15/2009 | Wealth Forecasting | \$1,000.00 | 6/8/2010 | 63632EAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 115 | 11/20/2015 | Estate Planning | \$750.00 | 5/13/2016 | 875DBAAO | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| Investor 115 | 8/24/2007 | FOCUSPlan Other | \$800.00 | 5/19/2008 | 15316801 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 115 | 8/24/2007 | Strategy Other | \$1,500.00 | 5/19/2008 | 15316801 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 115 | 12/8/2008 | Strategy Other | \$3,100.00 | 6/10/2009 | 16988901 | \$ 2,728.00 | \$ 1,240.00 | \$ 1,488.00 |
| | | | \$26,800.00 | | | | | |
| Investor 116 | 12/15/2011 | FOCUSPlan | \$900.00 | 5/7/2012 | 6NOY8MAO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 116 | 1/24/2013 | Investment Planning | \$720.00 | 6/20/2013 | 72VNM7AO | \$ 633.60 | \$ 288.00 | \$ 345.60 |
| Investor 116 | 12/23/2013 | Investment Planning | \$700.00 | 6/17/2014 | 7GFTSAAO | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 116 | 3/13/2015 | Investment Planning | \$650.00 | 7/20/2015 | 7UUAXMAO | \$ 471.25 | \$ 260.00 | \$ 211.25 |
| | | | \$2,970.00 | | | | | |
| Investor 117 | 12/4/2009 | Investment Planning | \$750.00 | 5/24/2010 | 6226QEO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 117 | 12/8/2010 | Investment Planning | \$800.00 | 2/15/2011 | 6DABK5AO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 117 | 12/14/2011 | Investment Planning | \$850.00 | 5/2/2012 | 6MM3J9AO | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 117 | 12/13/2012 | Investment Planning | \$650.00 | 6/4/2013 | 721NEGAO | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 117 | 12/20/2013 | Investment Planning | \$550.00 | 4/30/2014 | 7GELWCAO | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 117 | 12/8/2014 | Investment Planning | \$425.00 | 4/29/2015 | 7S73NYAO | \$ 318.75 | \$ 170.00 | \$ 148.75 |
| Investor 117 | 12/9/2015 | Investment Planning | \$425.00 | 5/25/2016 | 88B183AO | \$ 308.13 | \$ 170.00 | \$ 138.13 |
| Investor 117 | 12/13/2007 | Strategy Other | \$800.00 | 5/29/2008 | 15738601 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 117 | 12/5/2008 | Strategy Other | \$975.00 | 5/26/2009 | 16989101 | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| | | | \$6,225.00 | | | | | |
| Investor 118 | 4/12/2010 | FOCUSPlan | \$1,960.00 | 9/13/2010 | 65UFSDAO | \$ 1,724.80 | \$ 784.00 | \$ 940.80 |
| Investor 118 | 4/12/2011 | Investment Planning | \$2,070.00 | 7/14/2011 | 6FT547AO | \$ 1,821.60 | \$ 828.00 | \$ 993.60 |
| Investor 118 | 4/12/2012 | Investment Planning | \$1,700.00 | 10/8/2012 | 6ONQ11AO | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 118 | 4/17/2013 | Investment Planning | \$1,500.00 | 9/19/2013 | 756E3AAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 118 | 4/9/2014 | Investment Planning | \$1,300.00 | 7/8/2014 | 711UUAZO | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 118 | 4/8/2015 | Investment Planning | \$1,100.00 | 7/20/2015 | 7VKHT7AO | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 118 | 4/30/2009 | FOCUSPlan | \$1,300.00 | 10/13/2009 | 17490001 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 118 | 4/30/2009 | Investment Planning | \$1,000.00 | 10/13/2009 | 17490001 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$11,930.00 | | | | | |
| Investor 119 | 3/10/2010 | FOCUSPlan | \$2,000.00 | 9/8/2010 | 653BR4AO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 119 | 3/1/2011 | FOCUSPlan | \$2,000.00 | 9/1/2011 | 6FI2RNAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 119 | 2/22/2012 | FOCUSPlan | \$1,800.00 | 8/2/2012 | 6NTG74AO | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 119 | 2/12/2013 | FOCUSPlan | \$2,400.00 | 7/18/2013 | 73B7L7AO | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 119 | 2/10/2014 | FOCUSPlan | \$2,100.00 | 8/8/2014 | 7HJOFDAO | \$ 1,575.00 | \$ 840.00 | \$ 735.00 |
| Investor 119 | 2/11/2015 | FOCUSPlan | \$1,650.00 | 7/24/2015 | 7U2NZQAO | \$ 1,196.25 | \$ 660.00 | \$ 536.25 |
| Investor 119 | 2/11/2015 | Investment Planning | \$1,000.00 | 7/24/2015 | 7U2NZQAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 119 | 2/10/2014 | Investment Planning | \$1,000.00 | 8/8/2014 | 7HJOFDAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 119 | 2/12/2013 | Investment Planning | \$1,000.00 | 7/18/2013 | 73B7L7AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 119 | 2/22/2012 | Investment Planning | \$1,000.00 | 8/2/2012 | 6NTG74AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 119 | 3/1/2011 | Investment Planning | \$1,500.00 | 9/1/2011 | 6FI2RNAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 119 | 3/10/2010 | Investment Planning | \$1,500.00 | 9/8/2010 | 653BR4AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 119 | 3/10/2010 | Wealth Forecasting | \$850.00 | 9/8/2010 | 653BR4AO | \$ 748.00 | \$ 340.00 | \$ 408.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 119 | 3/1/2011 | Wealth Forecasting | \$1,000.00 | 9/1/2011 | 6FI2RNAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 119 | 2/22/2012 | Wealth Forecasting | \$1,000.00 | 8/2/2012 | 6NTG74AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 119 | 3/1/2011 | Estate Planning | \$100.00 | 9/1/2011 | 6FI2RNAO | \$ 88.00 | \$ 40.00 | \$ 48.00 |
| Investor 119 | 4/5/2009 | FOCUSPlan | \$1,300.00 | 10/5/2009 | 17420701 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 119 | 4/5/2009 | Investment Planning | \$1,500.00 | 10/5/2009 | 17420701 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 119 | 4/5/2009 | Wealth Forecasting | \$900.00 | 10/5/2009 | 17420701 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$25,600.00 | | | | | |
| Investor 120 | 1/5/2011 | FOCUSPlan | \$1,100.00 | 5/25/2011 | 6DU3NLAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 120 | 8/16/2012 | Wealth Forecasting | \$300.00 | 2/15/2013 | 6WKD04AO | \$ 264.00 | \$ 120.00 | \$ 144.00 |
| Investor 120 | 9/12/2013 | Wealth Forecasting | \$300.00 | 3/11/2014 | 7ADF79AO | \$ 264.00 | \$ 120.00 | \$ 144.00 |
| Investor 120 | 10/2/2014 | Wealth Forecasting | \$275.00 | 3/19/2015 | 7OK7EHAO | \$ 206.25 | \$ 110.00 | \$ 96.25 |
| Investor 120 | 9/21/2015 | Investment Planning | \$275.00 | 1/11/2016 | 84X0J5AO | \$ 199.38 | \$ 110.00 | \$ 89.38 |
| | | | \$2,250.00 | | | | | |
| Investor 121 | 4/20/2012 | FOCUSPlan | \$1,250.00 | 10/15/2012 | 6P5300AO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 121 | 8/1/2013 | FOCUSPlan | \$1,250.00 | 2/3/2014 | 79ENSIAO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 121 | 9/11/2014 | Investment Planning | \$2,500.00 | 3/10/2015 | 7ND0F4AO | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 121 | 9/11/2014 | Wealth Forecasting | \$250.00 | 3/10/2015 | 7ND0F4AO | \$ 187.50 | \$ 100.00 | \$ 87.50 |
| Investor 121 | 8/1/2013 | Investment Planning | \$1,000.00 | 2/3/2014 | 79ENSIAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 121 | 4/20/2012 | Investment Planning | \$1,000.00 | 10/15/2012 | 6P5300AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 121 | 4/20/2012 | Estate Planning | \$750.00 | 10/15/2012 | 6P5300AO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 121 | 8/1/2013 | Estate Planning | \$750.00 | 2/3/2014 | 79ENSIAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| | | | \$8,750.00 | | | | | |
| Investor 122 | 11/23/2009 | Investment Planning | \$1,500.00 | 5/14/2010 | 62SIPLAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 122 | 11/29/2010 | FOCUSPlan | \$2,000.00 | 5/26/2011 | 6D40QDAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 122 | 11/29/2011 | Investment Planning | \$2,300.00 | 5/7/2012 | 6MESHRAO | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 122 | 11/7/2012 | Investment Planning | \$2,000.00 | 4/26/2013 | 70AYAQAQAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 122 | 11/15/2013 | Investment Planning | \$1,900.00 | 5/7/2014 | 7F3DOJAO | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 122 | 11/24/2014 | Investment Planning | \$1,550.00 | 5/26/2015 | 7RKBGSAO | \$ 1,162.50 | \$ 620.00 | \$ 542.50 |
| Investor 122 | 11/11/2015 | Investment Planning | \$2,000.00 | 5/9/2016 | 8746T5AO | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 122 | 11/24/2014 | Wealth Forecasting | \$700.00 | 5/26/2015 | 7RKBGSAO | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 122 | 11/15/2013 | Wealth Forecasting | \$700.00 | 5/7/2014 | 7F3DOJAO | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 122 | 11/7/2012 | Wealth Forecasting | \$800.00 | 4/26/2013 | 70AYAQAQAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 122 | 11/29/2011 | Wealth Forecasting | \$1,000.00 | 5/7/2012 | 6MESHRAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 122 | 11/29/2010 | Investment Planning | \$1,100.00 | 5/26/2011 | 6D40QDAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 122 | 11/23/2009 | Wealth Forecasting | \$600.00 | 5/14/2010 | 62SIPLAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 122 | 11/14/2007 | Strategy Other | \$2,450.00 | 5/16/2008 | 15632101 | \$ 2,156.00 | \$ 980.00 | \$ 1,176.00 |
| Investor 122 | 11/24/2008 | FOCUSPlan Other | \$1,250.00 | 5/26/2009 | 16957501 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 122 | 11/24/2008 | Strategy Other | \$1,500.00 | 5/26/2009 | 16957501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$23,350.00 | | | | | |
| Investor 123 | 8/19/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 60N8X4AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 123 | 9/1/2010 | Investment Planning | \$1,500.00 | 12/27/2010 | 6BJJIRAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 123 | 8/24/2011 | Investment Planning | \$1,700.00 | 11/14/2011 | 6KU1NSAO | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 123 | 8/2/2012 | Investment Planning | \$1,500.00 | 12/27/2012 | 6WCL5MAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 123 | 8/15/2013 | Investment Planning | \$1,500.00 | 1/28/2014 | 79XRVLAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 123 | 8/14/2014 | Investment Planning | \$1,300.00 | 11/10/2014 | 7MC12EAO | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 123 | 8/6/2015 | Investment Planning | \$1,200.00 | 11/16/2015 | 82VW3KAO | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 123 | 8/6/2015 | Wealth Forecasting | \$1,000.00 | 11/16/2015 | 82VW3KAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 123 | 8/14/2014 | Wealth Forecasting | \$1,000.00 | 11/10/2014 | 7MC12EAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 123 | 8/15/2013 | Wealth Forecasting | \$1,000.00 | 1/28/2014 | 79XRVLAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 123 | 8/2/2012 | Wealth Forecasting | \$1,000.00 | 12/27/2012 | 6WCL5MAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 123 | 8/24/2011 | Wealth Forecasting | \$1,000.00 | 11/14/2011 | 6KU1NSAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 123 | 9/1/2010 | Wealth Forecasting | \$790.00 | 12/27/2010 | 6BJJIRAA0 | \$ 695.20 | \$ 316.00 | \$ 379.20 |
| Investor 123 | 8/19/2009 | Wealth Forecasting | \$600.00 | 12/28/2009 | 60N8X4AA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 123 | 8/27/2007 | Strategy Other | \$2,200.00 | 2/25/2008 | 15319301 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 123 | 9/4/2008 | FOCUSPlan Other | \$1,200.00 | 2/9/2009 | 16680501 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 123 | 9/4/2008 | Strategy Other | \$1,500.00 | 2/9/2009 | 16680501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$21,490.00 | | | | | |
| Investor 124 | 7/21/2011 | FOCUSPlan | \$1,100.00 | 12/6/2011 | 6HQJQ7AA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 124 | 7/11/2012 | Start-up | \$300.00 | 1/10/2013 | 6VB88GAA0 | \$ 264.00 | \$ 120.00 | \$ 144.00 |
| | | | \$1,400.00 | | | | | |
| Investor 125 | 9/21/2009 | Investment Planning | \$1,200.00 | 3/15/2010 | 61DZ1QAA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 125 | 9/27/2010 | Investment Planning | \$1,500.00 | 3/18/2011 | 6BYE8ZAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 125 | 9/19/2011 | Investment Planning | \$2,400.00 | 2/22/2012 | 6LANKYAA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 125 | 9/17/2012 | Investment Planning | \$2,300.00 | 3/15/2013 | 6Y3NDMAA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 125 | 9/27/2010 | Wealth Forecasting | \$850.00 | 3/18/2011 | 6BYE8ZAA0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 125 | 9/21/2009 | Wealth Forecasting | \$1,000.00 | 3/15/2010 | 61DZ1QAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 125 | 9/27/2007 | Strategy Other | \$2,400.00 | 3/28/2008 | 15434301 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 125 | 9/16/2008 | Strategy Other | \$2,700.00 | 3/16/2009 | 16726501 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| | | | \$14,350.00 | | | | | |
| Investor 126 | 9/21/2009 | Investment Planning | \$650.00 | 3/19/2010 | 61DZ2DAA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 126 | 9/28/2010 | Investment Planning | \$800.00 | 3/24/2011 | 6C2RFOAA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 126 | 9/19/2011 | Investment Planning | \$930.00 | 2/22/2012 | 6LAH8VAA0 | \$ 818.40 | \$ 372.00 | \$ 446.40 |
| Investor 126 | 9/17/2012 | Investment Planning | \$790.00 | 3/15/2013 | 6Y3NCRAA0 | \$ 695.20 | \$ 316.00 | \$ 379.20 |
| Investor 126 | 9/27/2007 | Strategy Other | \$700.00 | 3/28/2008 | 15433601 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 126 | 9/16/2008 | Strategy Other | \$900.00 | 3/23/2009 | 16762801 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$4,770.00 | | | | | |
| Investor 127 | 3/6/2010 | FOCUSPlan | \$2,000.00 | 8/31/2010 | 64ZXBUAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 127 | 2/16/2011 | FOCUSPlan | \$2,000.00 | 6/28/2011 | 6FA6NUAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 127 | 2/23/2012 | FOCUSPlan | \$2,000.00 | 8/16/2012 | 6NXJFAAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 127 | 3/3/2013 | FOCUSPlan | \$2,000.00 | 8/29/2013 | 73PAC5AA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 127 | 2/11/2014 | FOCUSPlan | \$1,500.00 | 8/11/2014 | 7HMF4TAA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 127 | 2/20/2015 | FOCUSPlan | \$1,800.00 | 8/20/2015 | 7U9AMQAA0 | \$ 1,305.00 | \$ 720.00 | \$ 585.00 |
| Investor 127 | 3/4/2016 | FOCUSPlan | \$1,600.00 | 8/23/2016 | 89FKGDA0 | \$ 1,120.00 | \$ 640.00 | \$ 480.00 |
| Investor 127 | 3/4/2016 | Investment Planning | \$1,200.00 | 8/23/2016 | 89FKGDA0 | \$ 840.00 | \$ 480.00 | \$ 360.00 |
| Investor 127 | 2/20/2015 | Investment Planning | \$1,300.00 | 8/20/2015 | 7U9AMQAA0 | \$ 942.50 | \$ 520.00 | \$ 422.50 |
| Investor 127 | 2/11/2014 | Investment Planning | \$1,500.00 | 8/11/2014 | 7HMF4TAA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 127 | 3/3/2013 | Investment Planning | \$1,500.00 | 8/29/2013 | 73PAC5AA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 127 | 2/23/2012 | Investment Planning | \$1,500.00 | 8/16/2012 | 6NXJFAAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 127 | 2/16/2011 | Investment Planning | \$1,500.00 | 6/28/2011 | 6FA6NUAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 127 | 3/6/2010 | Investment Planning | \$1,500.00 | 8/31/2010 | 64ZXBUAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 127 | 3/6/2010 | Wealth Forecasting | \$1,000.00 | 8/31/2010 | 64ZXBUAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 127 | 2/16/2011 | Wealth Forecasting | \$1,000.00 | 6/28/2011 | 6FA6NUAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 127 | 2/23/2012 | Wealth Forecasting | \$1,000.00 | 8/16/2012 | 6NXJFAAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 127 | 3/3/2013 | Wealth Forecasting | \$1,000.00 | 8/29/2013 | 73PAC5AA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 127 | 2/11/2014 | Wealth Forecasting | \$1,000.00 | 8/11/2014 | 7HMF4TAA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 127 | 2/20/2015 | Wealth Forecasting | \$800.00 | 8/20/2015 | 7U9AMQAA0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 127 | 3/4/2016 | Wealth Forecasting | \$800.00 | 8/23/2016 | 89FKGDA0 | \$ 560.00 | \$ 320.00 | \$ 240.00 |
| Investor 127 | 3/4/2016 | Estate Planning | \$700.00 | 8/23/2016 | 89FKGDA0 | \$ 490.00 | \$ 280.00 | \$ 210.00 |
| Investor 127 | 2/20/2015 | Estate Planning | \$750.00 | 8/20/2015 | 7U9AMQA0 | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| Investor 127 | 2/11/2014 | Estate Planning | \$800.00 | 8/11/2014 | 7HMF4TA0 | \$ 600.00 | \$ 320.00 | \$ 280.00 |
| Investor 127 | 3/3/2013 | Estate Planning | \$800.00 | 8/29/2013 | 73PAC5A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 127 | 2/23/2012 | Estate Planning | \$800.00 | 8/16/2012 | 6NXJFAA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 127 | 2/16/2011 | Estate Planning | \$1,400.00 | 6/28/2011 | 6FAGNUA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 127 | 3/6/2010 | Estate Planning | \$800.00 | 8/31/2010 | 64ZXBUA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 127 | 3/17/2009 | FOCUSPlan | \$2,000.00 | 8/20/2009 | 17342401 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 127 | 3/17/2009 | Investment Planning | \$1,500.00 | 8/20/2009 | 17342401 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 127 | 3/17/2009 | Wealth Forecasting | \$900.00 | 8/20/2009 | 17342401 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$39,950.00 | | | | | |
| Investor 128 | 12/11/2009 | Investment Planning | \$1,500.00 | 4/13/2010 | 63408NA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 128 | 12/10/2010 | Investment Planning | \$800.00 | 5/16/2011 | 6DF7DTA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 128 | 12/9/2011 | Investment Planning | \$1,450.00 | 4/18/2012 | 6MMO7FA0 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 128 | 12/7/2012 | Investment Planning | \$1,200.00 | 5/20/2013 | 71ZOC1A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 128 | 12/12/2008 | Investment Planning | \$1,000.00 | 5/26/2009 | 8ALXN8A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 128 | 12/12/2008 | Select Module | \$750.00 | 5/26/2009 | 8ALXN8A0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 128 | 12/10/2010 | Wealth Forecasting | \$800.00 | 5/16/2011 | 6DF7DTA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 128 | 12/13/2007 | Strategy Other | \$1,250.00 | 5/15/2008 | 15740101 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 128 | 12/13/2007 | Select Module | \$400.00 | 5/15/2008 | 15740101 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| | | | \$9,150.00 | | | | | |
| Investor 129 | 9/21/2009 | Investment Planning | \$1,300.00 | 3/15/2010 | 61CMEHA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 129 | 9/20/2010 | FOCUSPlan | \$1,500.00 | 3/7/2011 | 6BUXT3A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 129 | 9/22/2011 | Investment Planning | \$1,650.00 | 2/29/2012 | 6LE58HA0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 129 | 9/20/2012 | FOCUSPlan | \$2,025.00 | 3/18/2013 | 6Y4CK3A0 | \$ 1,782.00 | \$ 810.00 | \$ 972.00 |
| Investor 129 | 9/18/2013 | Wealth Forecasting | \$1,000.00 | 3/11/2014 | 7CB7NRA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 129 | 9/8/2014 | Wealth Forecasting | \$1,000.00 | 2/26/2015 | 7MWEW9A0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 129 | 9/14/2015 | Investment Planning | \$1,500.00 | 3/11/2016 | 84CSWVA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 129 | 9/14/2015 | Wealth Forecasting | \$1,000.00 | 3/11/2016 | 84CSWVA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 129 | 9/8/2014 | Investment Planning | \$1,700.00 | 2/26/2015 | 7MWEW9A0 | \$ 1,275.00 | \$ 680.00 | \$ 595.00 |
| Investor 129 | 9/18/2013 | Investment Planning | \$2,000.00 | 3/11/2014 | 7CB7NRA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 129 | 9/20/2012 | Wealth Forecasting | \$1,000.00 | 3/18/2013 | 6Y4CK3A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 129 | 9/27/2007 | Strategy Other | \$1,400.00 | 3/19/2008 | 15433301 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 129 | 9/16/2008 | FOCUSPlan Other | \$1,600.00 | 3/23/2009 | 16743301 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| | | | \$18,675.00 | | | | | |
| Investor 130 | 9/8/2009 | FOCUSPlan | \$1,500.00 | 3/2/2010 | 611STXA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 130 | 3/9/2011 | FOCUSPlan | \$2,000.00 | 9/8/2011 | 6FA718A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 130 | 9/28/2011 | Investment Planning | \$2,400.00 | 3/19/2012 | 6LEQMNA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 130 | 9/6/2012 | Investment Planning | \$1,550.00 | 3/1/2013 | 6WZBK7A0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 130 | 9/12/2013 | Investment Planning | \$1,500.00 | 2/28/2014 | 7AE69TA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 130 | 9/19/2014 | Investment Planning | \$1,400.00 | 3/19/2015 | 7NRV2MA0 | \$ 1,050.00 | \$ 560.00 | \$ 490.00 |
| Investor 130 | 9/15/2015 | Investment Planning | \$1,350.00 | 3/1/2016 | 84CWY9A0 | \$ 978.75 | \$ 540.00 | \$ 438.75 |
| | | | \$11,700.00 | | | | | |
| Investor 131 | 11/19/2009 | FOCUSPlan | \$1,900.00 | 5/12/2010 | 625IMUA0 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 131 | 11/18/2010 | FOCUSPlan | \$2,000.00 | 5/16/2011 | 6CX8JAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 131 | 3/26/2012 | FOCUSPlan | \$3,000.00 | 9/24/2012 | 6OF5ZAA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 131 | 4/15/2013 | FOCUSPlan | \$3,000.00 | 9/20/2013 | 753LFHA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 131 | 6/13/2014 | FOCUSPlan | \$2,700.00 | 10/1/2014 | 7JGO4EA0 | \$ 2,025.00 | \$ 1,080.00 | \$ 945.00 |
| Investor 131 | 8/13/2015 | FOCUSPlan | \$2,700.00 | 11/20/2015 | 82YCGUA0 | \$ 1,957.50 | \$ 1,080.00 | \$ 877.50 |
| Investor 131 | 8/13/2015 | Investment Planning | \$1,500.00 | 11/20/2015 | 82YCGUA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 131 | 6/13/2014 | Investment Planning | \$1,850.00 | 10/1/2014 | 7JGO4EA0 | \$ 1,387.50 | \$ 740.00 | \$ 647.50 |
| Investor 131 | 4/15/2013 | Investment Planning | \$1,930.00 | 9/20/2013 | 753LFHA0 | \$ 1,698.40 | \$ 772.00 | \$ 926.40 |
| Investor 131 | 3/26/2012 | Investment Planning | \$2,000.00 | 9/24/2012 | 60FSZAA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 131 | 11/18/2010 | Investment Planning | \$1,500.00 | 5/16/2011 | 6CX8JAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 131 | 11/19/2009 | Investment Planning | \$1,500.00 | 5/12/2010 | 62SIMUA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 131 | 11/18/2010 | Wealth Forecasting | \$700.00 | 5/16/2011 | 6CX8JAA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 131 | 3/26/2012 | Wealth Forecasting | \$1,000.00 | 9/24/2012 | 60FSZAA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 131 | 4/15/2013 | Wealth Forecasting | \$1,000.00 | 9/20/2013 | 753LFHA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 131 | 6/13/2014 | Wealth Forecasting | \$1,000.00 | 10/1/2014 | 7JGO4EA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 131 | 8/13/2015 | Wealth Forecasting | \$1,000.00 | 11/20/2015 | 82YCGUA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 131 | 1/18/2008 | Strategy Other | \$3,700.00 | 6/3/2008 | 15861001 | \$ 3,256.00 | \$ 1,480.00 | \$ 1,776.00 |
| Investor 131 | 11/20/2008 | FOCUSPlan Other | \$2,000.00 | 5/6/2009 | 16957301 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 131 | 11/20/2008 | Strategy Other | \$2,100.00 | 5/6/2009 | 16957301 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| | | | \$38,080.00 | | | | | |
| Investor 132 | 5/6/2010 | Investment Planning | \$700.00 | 9/7/2010 | 6657D6A0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 132 | 5/20/2011 | Investment Planning | \$700.00 | 9/16/2011 | 6GK8CJA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 132 | 5/22/2012 | Investment Planning | \$600.00 | 11/9/2012 | 6PA861A0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 132 | 5/24/2007 | Strategy Other | \$1,050.00 | 11/14/2007 | 14972801 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 132 | 5/12/2008 | Strategy Other | \$1,000.00 | 11/18/2008 | 16313601 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 132 | 5/7/2009 | Investment Planning | \$700.00 | 10/13/2009 | 17549401 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| | | | \$4,750.00 | | | | | |
| Investor 133 | 9/29/2011 | Investment Planning | \$1,500.00 | 1/27/2012 | 6LKP4A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 133 | 9/14/2012 | FOCUSPlan | \$2,500.00 | 3/15/2013 | 6Y6SXRA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 133 | 9/13/2013 | FOCUSPlan | \$2,500.00 | 1/28/2014 | 7E3WTGA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 133 | 10/3/2014 | FOCUSPlan | \$2,500.00 | 1/22/2015 | 7OKRBEA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 133 | 10/9/2015 | FOCUSPlan | \$2,500.00 | 1/15/2016 | 85W8RJA0 | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 133 | 10/9/2015 | Investment Planning | \$1,200.00 | 1/15/2016 | 85W8RJA0 | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 133 | 10/3/2014 | Investment Planning | \$1,200.00 | 1/22/2015 | 7OKRBEA0 | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 133 | 9/13/2013 | Investment Planning | \$1,500.00 | 1/28/2014 | 7E3WTGA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 133 | 9/14/2012 | Investment Planning | \$1,500.00 | 3/15/2013 | 6Y6SXRA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 133 | 9/14/2012 | Wealth Forecasting | \$700.00 | 3/15/2013 | 6Y6SXRA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 133 | 9/13/2013 | Wealth Forecasting | \$700.00 | 1/28/2014 | 7E3WTGA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 133 | 10/3/2014 | Wealth Forecasting | \$700.00 | 1/22/2015 | 7OKRBEA0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 133 | 10/9/2015 | Wealth Forecasting | \$700.00 | 1/15/2016 | 85W8RJA0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| | | | \$19,700.00 | | | | | |
| Investor 134 | 11/19/2010 | FOCUSPlan | \$1,600.00 | 5/16/2011 | 6CZONFA0 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 134 | 11/19/2010 | Investment Planning | \$1,500.00 | 5/16/2011 | 6CZONFA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 134 | 11/19/2010 | Wealth Forecasting | \$1,000.00 | 5/16/2011 | 6CZONFA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 134 | 11/19/2010 | Estate Planning | \$500.00 | 5/16/2011 | 6CZONFA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 134 | 11/14/2007 | Strategy Other | \$2,500.00 | 5/15/2008 | 15631401 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 134 | 11/14/2007 | Select Module | \$550.00 | 5/15/2008 | 15631401 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 134 | 6/24/2009 | Investment Planning | \$1,000.00 | 12/9/2009 | 17666901 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 134 | 6/24/2009 | Wealth Forecasting | \$825.00 | 12/9/2009 | 17666901 | \$ 726.00 | \$ 330.00 | \$ 396.00 |
| | | | \$9,475.00 | | | | | |
| Investor 135 | 12/4/2009 | FOCUSPlan | \$2,000.00 | 5/28/2010 | 63Q1OFA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 135 | 12/4/2009 | Investment Planning | \$500.00 | 5/28/2010 | 63Q1OFA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 135 | 12/4/2009 | Wealth Forecasting | \$1,000.00 | 5/28/2010 | 63Q1OFA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 135 | 12/4/2009 | Estate Planning | \$1,375.00 | 5/28/2010 | 63Q1OFA0 | \$ 1,210.00 | \$ 550.00 | \$ 660.00 |
| | | | \$4,875.00 | | | | | |
| Investor 136 | 9/9/2013 | Investment Planning | \$1,450.00 | 1/28/2014 | 7ABHMLA0 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 136 | 9/4/2014 | Investment Planning | \$450.00 | 3/2/2015 | 7MUK50A0 | \$ 337.50 | \$ 180.00 | \$ 157.50 |
| Investor 136 | 8/27/2007 | FOCUSPlan Other | \$400.00 | 2/27/2008 | 15319501 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| | | | \$2,300.00 | | | | | |
| Investor 137 | 8/20/2009 | Investment Planning | \$1,200.00 | 12/8/2009 | 60MW5VA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 137 | 8/4/2010 | Investment Planning | \$1,450.00 | 11/29/2010 | 68QFZTA0 | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 137 | 8/10/2011 | Investment Planning | \$1,950.00 | 12/9/2011 | 6KMASRA0 | \$ 1,716.00 | \$ 780.00 | \$ 936.00 |
| Investor 137 | 9/19/2012 | FOCUSPlan | \$1,700.00 | 3/18/2013 | 6Y2YQHA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 137 | 9/26/2008 | Strategy Other | \$1,000.00 | 3/2/2009 | 16763401 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$7,300.00 | | | | | |
| Investor 138 | 4/19/2013 | FOCUSPlan | \$650.00 | 10/14/2013 | 758J0QA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 138 | 4/11/2014 | Investment Planning | \$700.00 | 8/18/2014 | 7UAIACA0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 138 | 4/10/2015 | Investment Planning | \$500.00 | 10/12/2015 | 7VZBC9A0 | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| Investor 138 | 4/11/2016 | Investment Planning | \$500.00 | 10/5/2016 | 8ADATTA0 | \$ 350.00 | \$ 200.00 | \$ 150.00 |
| | | | \$2,350.00 | | | | | |
| Investor 139 | 1/13/2010 | FOCUSPlan | \$1,200.00 | 7/26/2010 | 63YM3PA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 139 | 1/27/2011 | Investment Planning | \$1,500.00 | 6/6/2011 | 6ECG5KA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 139 | 1/11/2012 | Investment Planning | \$1,150.00 | 6/21/2012 | 6N4XWXA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 139 | 1/9/2013 | Investment Planning | \$2,050.00 | 7/3/2013 | 72LKO7A0 | \$ 1,804.00 | \$ 820.00 | \$ 984.00 |
| Investor 139 | 1/8/2014 | Investment Planning | \$1,750.00 | 6/5/2014 | 7GVMWXA0 | \$ 1,312.50 | \$ 700.00 | \$ 612.50 |
| Investor 139 | 1/8/2015 | Investment Planning | \$1,650.00 | 6/5/2015 | 7TNLNEA0 | \$ 1,196.25 | \$ 660.00 | \$ 536.25 |
| Investor 139 | 1/7/2016 | Investment Planning | \$1,650.00 | 7/7/2016 | 88L2N2A0 | \$ 1,155.00 | \$ 660.00 | \$ 495.00 |
| Investor 139 | 1/11/2012 | Wealth Forecasting | \$1,000.00 | 6/21/2012 | 6N4XWXA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 139 | 1/27/2011 | Wealth Forecasting | \$1,000.00 | 6/6/2011 | 6ECG5KA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 139 | 1/13/2010 | Investment Planning | \$1,000.00 | 7/26/2010 | 63YM3PA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 139 | 3/15/2007 | Strategy Other | \$1,900.00 | 3/14/2007 | 14702401 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 139 | 2/29/2008 | FOCUSPlan Other | \$800.00 | 7/9/2008 | 16029801 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 139 | 2/29/2008 | Strategy Other | \$1,500.00 | 7/9/2008 | 16029801 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 139 | 1/29/2009 | Investment Planning | \$1,500.00 | 7/8/2009 | 17150501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 139 | 1/29/2009 | Wealth Forecasting | \$350.00 | 7/8/2009 | 17150501 | \$ 308.00 | \$ 140.00 | \$ 168.00 |
| | | | \$20,000.00 | | | | | |
| Investor 140 | 8/13/2009 | Investment Planning | \$1,400.00 | 12/31/2009 | 61A156A0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 140 | 9/29/2010 | Investment Planning | \$1,000.00 | 3/29/2011 | 68YE6DA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 140 | 1/26/2012 | Investment Planning | \$1,750.00 | 5/16/2012 | 6NCA5YA0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 140 | 8/27/2012 | Investment Planning | \$1,500.00 | 1/29/2013 | 6X03YCA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 140 | 9/18/2013 | Investment Planning | \$1,300.00 | 3/11/2014 | 7CH8COA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 140 | 9/29/2010 | Wealth Forecasting | \$650.00 | 3/29/2011 | 68YE6DA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 140 | 7/23/2007 | Strategy Other | \$1,500.00 | 1/25/2008 | 15184301 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 140 | 11/7/2008 | Strategy Other | \$1,850.00 | 3/4/2009 | 16895201 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| | | | \$10,950.00 | | | | | |
| | | | \$0.00 | | | | | |
| Investor 142 | 5/24/2010 | Investment Planning | \$600.00 | 11/3/2010 | 66VUQGA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 142 | 6/17/2011 | FOCUSPlan | \$2,000.00 | 11/4/2011 | 6H6TMZA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 142 | 8/8/2012 | FOCUSPlan | \$2,600.00 | 1/21/2013 | 6WFXZFA0 | \$ 2,288.00 | \$ 1,040.00 | \$ 1,248.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 142 | 8/7/2013 | Investment Planning | \$2,000.00 | 1/22/2014 | 79JASZAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 142 | 8/27/2014 | Investment Planning | \$1,800.00 | 10/31/2014 | 7MPU9AO | \$ 1,350.00 | \$ 720.00 | \$ 630.00 |
| Investor 142 | 6/4/2008 | Select Module | \$750.00 | 12/3/2008 | 8ALXOOAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 142 | 6/4/2008 | Investment Planning | \$1,500.00 | 12/3/2008 | 8ALXOOAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 142 | 6/17/2011 | Investment Planning | \$1,600.00 | 11/4/2011 | 6HGTMZAO | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 142 | 5/24/2010 | Wealth Forecasting | \$1,000.00 | 11/3/2010 | 66VUQGAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 142 | 5/24/2010 | Estate Planning | \$1,000.00 | 11/3/2010 | 66VUQGAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 142 | 8/9/2007 | Strategy Other | \$2,400.00 | 2/11/2008 | 15247401 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 142 | 5/19/2009 | Investment Planning | \$1,500.00 | 11/2/2009 | 17546101 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 142 | 5/19/2009 | Wealth Forecasting | \$800.00 | 11/2/2009 | 17546101 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$19,550.00 | | | | | |
| Investor 143 | 7/22/2010 | Investment Planning | \$1,500.00 | 11/8/2010 | 67YF5AAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 143 | 7/30/2012 | Investment Planning | \$1,500.00 | 12/27/2012 | 6WE8R9AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 143 | 9/12/2013 | Investment Planning | \$1,450.00 | 1/28/2014 | 7AE5XHAAO | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 143 | 9/18/2014 | Investment Planning | \$1,150.00 | 1/22/2015 | 7NFSDZAAO | \$ 862.50 | \$ 460.00 | \$ 402.50 |
| Investor 143 | 9/24/2015 | Investment Planning | \$1,400.00 | 2/12/2016 | 84Y8BRAO | \$ 1,015.00 | \$ 560.00 | \$ 455.00 |
| Investor 143 | 7/6/2011 | Investment Planning | \$2,500.00 | 11/22/2011 | 8ALXQWAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 143 | 7/6/2011 | Wealth Forecasting | \$500.00 | 11/22/2011 | 8ALXQWAO | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 143 | 9/18/2014 | Wealth Forecasting | \$500.00 | 1/22/2015 | 7NFSDZAAO | \$ 375.00 | \$ 200.00 | \$ 175.00 |
| Investor 143 | 9/12/2013 | Wealth Forecasting | \$700.00 | 1/28/2014 | 7AE5XHAAO | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 143 | 7/30/2012 | Wealth Forecasting | \$800.00 | 12/27/2012 | 6WE8R9AO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 143 | 7/22/2010 | Wealth Forecasting | \$1,000.00 | 11/8/2010 | 67YF5AAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 143 | 7/22/2010 | Estate Planning | \$1,900.00 | 11/8/2010 | 67YF5AAO | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 143 | 7/30/2012 | Estate Planning | \$900.00 | 12/27/2012 | 6WE8R9AO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 143 | 9/12/2013 | Estate Planning | \$800.00 | 1/28/2014 | 7AE5XHAAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 143 | 9/18/2014 | Estate Planning | \$600.00 | 1/22/2015 | 7NFSDZAAO | \$ 450.00 | \$ 240.00 | \$ 210.00 |
| Investor 143 | 7/6/2011 | Estate Planning | \$900.00 | 11/22/2011 | 8ALXQWAO | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 143 | 7/24/2007 | Strategy Other | \$3,850.00 | 1/25/2008 | 15184401 | \$ 3,388.00 | \$ 1,540.00 | \$ 1,848.00 |
| Investor 143 | 8/4/2008 | FOCUSPlan Other | \$2,000.00 | 1/29/2009 | 16568701 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 143 | 8/4/2008 | Strategy Other | \$3,140.00 | 1/29/2009 | 16568701 | \$ 2,763.20 | \$ 1,256.00 | \$ 1,507.20 |
| Investor 143 | 7/21/2009 | Investment Planning | \$1,500.00 | 11/30/2009 | 17724001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 143 | 7/21/2009 | Wealth Forecasting | \$1,000.00 | 11/30/2009 | 17724001 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 143 | 7/21/2009 | Estate Planning | \$1,700.00 | 11/30/2009 | 17724001 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| | | | \$31,290.00 | | | | | |
| Investor 144 | 9/26/2011 | Forecast | \$600.00 | 2/3/2012 | 6LE57ZAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 144 | 9/24/2012 | Forecast | \$600.00 | 3/21/2013 | 6Y618BAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 144 | 9/24/2013 | Investment Planning | \$600.00 | 3/17/2014 | 7DQHCAAO | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 144 | 9/11/2014 | Investment Planning | \$550.00 | 3/10/2015 | 7N95VPAO | \$ 412.50 | \$ 220.00 | \$ 192.50 |
| Investor 144 | 9/22/2015 | Investment Planning | \$560.00 | 1/29/2016 | 84XQOLA0 | \$ 406.00 | \$ 224.00 | \$ 182.00 |
| | | | \$2,910.00 | | | | | |
| Investor 145 | 7/19/2012 | FOCUSPlan | \$1,300.00 | 12/18/2012 | 6vDEBKA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 145 | 1/7/2014 | Investment Planning | \$750.00 | 6/12/2014 | 7GUYIWA0 | \$ 562.50 | \$ 300.00 | \$ 262.50 |
| Investor 145 | 1/6/2015 | Investment Planning | \$750.00 | 7/2/2015 | 7TMDL6AO | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| | | | \$2,800.00 | | | | | |
| Investor 146 | 11/20/2009 | Investment Planning | \$1,200.00 | 5/21/2010 | 6255A1AO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 146 | 11/24/2010 | FOCUSPlan | \$1,340.00 | 5/24/2011 | 6D19M7AO | \$ 1,179.20 | \$ 536.00 | \$ 643.20 |
| Investor 146 | 11/21/2011 | Investment Planning | \$1,400.00 | 5/16/2012 | 6MAM6CAO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 146 | 11/29/2012 | Investment Planning | \$1,100.00 | 5/14/2013 | 70ZDCAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 146 | 11/14/2013 | Investment Planning | \$1,100.00 | 4/25/2014 | 7FOEHFA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 146 | 11/12/2014 | FOCUSPlan | \$550.00 | 5/12/2015 | 7QZEB3A0 | \$ 412.50 | \$ 220.00 | \$ 192.50 |
| Investor 146 | 11/23/2015 | Investment Planning | \$500.00 | 5/20/2016 | 87SD2VA0 | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| Investor 146 | 12/22/2007 | Strategy Other | \$1,400.00 | 6/10/2008 | 15778901 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 146 | 11/19/2008 | FOCUSPlan Other | \$1,000.00 | 5/26/2009 | 16951101 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 146 | 11/19/2008 | Strategy Other | \$650.00 | 5/26/2009 | 16951101 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| | | | \$10,240.00 | | | | | |
| Investor 147 | 3/26/2010 | Investment Planning | \$1,200.00 | 8/3/2010 | 65LDC6A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 147 | 3/23/2011 | Investment Planning | \$1,000.00 | 9/26/2011 | 6FK8JBA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 147 | 3/20/2012 | Investment Planning | \$1,160.00 | 9/19/2012 | 6OBV5QA0 | \$ 1,020.80 | \$ 464.00 | \$ 556.80 |
| Investor 147 | 3/19/2013 | Investment Planning | \$1,050.00 | 8/23/2013 | 740DM2A0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 147 | 3/23/2014 | Investment Planning | \$600.00 | 7/23/2014 | 7IBR28A0 | \$ 450.00 | \$ 240.00 | \$ 210.00 |
| Investor 147 | 3/26/2015 | Investment Planning | \$450.00 | 7/20/2015 | 7VHM3SA0 | \$ 326.25 | \$ 180.00 | \$ 146.25 |
| Investor 147 | 3/23/2011 | Wealth Forecasting | \$550.00 | 9/26/2011 | 6FK8JBA0 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 147 | 3/28/2007 | Strategy Other | \$2,300.00 | 9/26/2007 | 14741001 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 147 | 2/29/2008 | Strategy Other | \$2,300.00 | 9/3/2008 | 16029901 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 147 | 3/25/2009 | Investment Planning | \$1,160.00 | 9/15/2009 | 17368701 | \$ 1,020.80 | \$ 464.00 | \$ 556.80 |
| | | | \$11,770.00 | | | | | |
| Investor 148 | 9/14/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 61A0LOA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 148 | 9/15/2010 | FOCUSPlan | \$1,000.00 | 12/27/2010 | 6BQA14A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 148 | 9/6/2011 | Investment Planning | \$1,800.00 | 12/23/2011 | 6L2WBUA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 148 | 9/5/2012 | Investment Planning | \$1,500.00 | 3/4/2013 | 6WZBCMA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 148 | 9/5/2013 | Investment Planning | \$1,000.00 | 1/27/2014 | 7A9FLOA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 148 | 9/11/2014 | Investment Planning | \$1,100.00 | 12/18/2014 | 7MXX6EA0 | \$ 825.00 | \$ 440.00 | \$ 385.00 |
| Investor 148 | 9/22/2015 | Investment Planning | \$750.00 | 12/10/2015 | 84Y7EJA0 | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| Investor 148 | 9/5/2013 | Wealth Forecasting | \$700.00 | 1/27/2014 | 7A9FLOA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 148 | 9/5/2012 | Wealth Forecasting | \$700.00 | 3/4/2013 | 6WZBCMA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 148 | 9/6/2011 | Wealth Forecasting | \$900.00 | 12/23/2011 | 6L2WBUA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 148 | 9/15/2010 | Investment Planning | \$1,200.00 | 12/27/2010 | 6BQA14A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 148 | 9/14/2009 | Estate Planning | \$1,050.00 | 12/28/2009 | 61A0LOA0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 148 | 9/15/2010 | Wealth Forecasting | \$500.00 | 12/27/2010 | 6BQA14A0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 148 | 8/23/2007 | Strategy Other | \$3,300.00 | 2/20/2008 | 15302401 | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| Investor 148 | 8/28/2008 | Strategy Other | \$3,500.00 | 12/29/2008 | 16666801 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| | | | \$20,500.00 | | | | | |
| Investor 149 | 7/9/2010 | Investment Planning | \$950.00 | 12/20/2010 | 67Q9E0A0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 149 | 8/19/2011 | Investment Planning | \$1,050.00 | 2/22/2012 | 6KS05FA0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 149 | 8/3/2012 | Investment Planning | \$960.00 | 12/18/2012 | 6WDEK5A0 | \$ 844.80 | \$ 384.00 | \$ 460.80 |
| Investor 149 | 8/16/2013 | Investment Planning | \$980.00 | 1/22/2014 | 79PAZAA0 | \$ 862.40 | \$ 392.00 | \$ 470.40 |
| Investor 149 | 9/14/2014 | Investment Planning | \$920.00 | 3/9/2015 | 7NECEKA0 | \$ 690.00 | \$ 368.00 | \$ 322.00 |
| Investor 149 | 6/27/2007 | Strategy Other | \$900.00 | 12/18/2007 | 15090101 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 149 | 7/6/2007 | Strategy Other | \$900.00 | 3/11/2008 | 15120301 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 149 | 6/30/2009 | Investment Planning | \$800.00 | 12/29/2009 | 17666801 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$7,460.00 | | | | | |
| Investor 150 | 9/2/2009 | Investment Planning | \$500.00 | 1/22/2010 | 60XSIIA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 150 | 8/25/2010 | Investment Planning | \$600.00 | 12/20/2010 | 6A7J04A0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 150 | 8/9/2011 | Investment Planning | \$675.00 | 11/14/2011 | 6KLO9GA0 | \$ 594.00 | \$ 270.00 | \$ 324.00 |
| Investor 150 | 8/14/2012 | Investment Planning | \$625.00 | 2/13/2013 | 6WHSCXA0 | \$ 550.00 | \$ 250.00 | \$ 300.00 |
| Investor 150 | 8/6/2013 | Investment Planning | \$650.00 | 1/22/2014 | 79HC9GA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |

| Investor # | Signed Date | Service Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought | |
|--------------|-------------|---------------------|--------------------|------------------|-----------------------|----------------------------|-----------------------------|-------------|
| Investor 150 | 8/19/2014 | Investment Planning | \$650.00 | 2/10/2015 | 7MDHWUA0 | \$ 487.50 | \$ 260.00 | \$ 227.50 |
| Investor 150 | 8/11/2015 | Investment Planning | \$650.00 | 12/17/2015 | 82K6OVA0 | \$ 471.25 | \$ 260.00 | \$ 211.25 |
| Investor 150 | 8/4/2008 | Strategy Other | \$600.00 | 2/5/2009 | 16577601 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| | | | \$4,950.00 | | | | | |
| Investor 151 | 10/24/2014 | Investment Planning | \$2,100.00 | 4/24/2015 | 7QD3Q8A0 | \$ 1,575.00 | \$ 840.00 | \$ 735.00 |
| Investor 151 | 10/24/2014 | Wealth Forecasting | \$700.00 | 4/24/2015 | 7QD3Q8A0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 152 | 11/9/2009 | Investment Planning | \$1,500.00 | 3/18/2010 | 62HKWEA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 152 | 11/10/2010 | Investment Planning | \$1,500.00 | 5/10/2011 | 6CSADSA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 152 | 11/9/2011 | Investment Planning | \$2,500.00 | 5/2/2012 | 6MSUD3A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 152 | 11/7/2012 | Investment Planning | \$2,500.00 | 5/6/2013 | 70C4HTA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 152 | 10/30/2013 | Investment Planning | \$2,500.00 | 4/20/2014 | 7EQ6C7A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 152 | 10/30/2013 | Wealth Forecasting | \$725.00 | 4/20/2014 | 7EQ6C7A0 | \$ 638.00 | \$ 290.00 | \$ 348.00 |
| Investor 152 | 11/7/2012 | Wealth Forecasting | \$700.00 | 5/6/2013 | 70C4HTA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 152 | 11/9/2011 | Wealth Forecasting | \$1,000.00 | 5/2/2012 | 6MSUD3A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 152 | 11/10/2010 | Wealth Forecasting | \$1,000.00 | 5/10/2011 | 6CSADSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 152 | 11/9/2009 | Wealth Forecasting | \$500.00 | 3/18/2010 | 62HKWEA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 152 | 11/9/2009 | Estate Planning | \$850.00 | 3/18/2010 | 62HKWEA0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 152 | 11/10/2010 | Estate Planning | \$700.00 | 5/10/2011 | 6CSADSA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 152 | 11/6/2007 | Strategy Other | \$3,200.00 | 5/15/2008 | 15598201 | \$ 2,816.00 | \$ 1,280.00 | \$ 1,536.00 |
| Investor 152 | 11/13/2008 | Strategy Other | \$3,800.00 | 5/11/2009 | 16911801 | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| | | | \$25,775.00 | | | | | |
| Investor 153 | 9/29/2014 | FOCUSPlan | \$2,500.00 | 3/20/2015 | 70HUXKA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 153 | 10/23/2015 | Investment Planning | \$2,100.00 | 4/14/2016 | 86AP41A0 | \$ 1,522.50 | \$ 840.00 | \$ 682.50 |
| | | | \$4,600.00 | | | | | |
| Investor 154 | 10/8/2009 | FOCUSPlan | \$1,500.00 | 3/17/2010 | 61OC24A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 154 | 10/13/2010 | Investment Planning | \$1,500.00 | 4/13/2011 | 6C7AAUA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 154 | 10/11/2011 | FOCUSPlan | \$2,100.00 | 3/19/2012 | 6LMJEB A0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 154 | 10/11/2012 | FOCUSPlan | \$2,000.00 | 4/4/2013 | 62X4FQA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 154 | 10/9/2013 | FOCUSPlan | \$2,000.00 | 3/18/2014 | 7EDH62A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 154 | 10/9/2013 | Investment Planning | \$1,200.00 | 3/18/2014 | 7EDH62A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 154 | 10/11/2012 | Investment Planning | \$1,435.00 | 4/4/2013 | 62X4FQA0 | \$ 1,262.80 | \$ 574.00 | \$ 688.80 |
| Investor 154 | 10/11/2011 | Investment Planning | \$2,000.00 | 3/19/2012 | 6LMJEB A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 154 | 10/13/2010 | Wealth Forecasting | \$890.00 | 4/13/2011 | 6C7AAUA0 | \$ 783.20 | \$ 356.00 | \$ 427.20 |
| Investor 154 | 10/8/2009 | Investment Planning | \$1,000.00 | 3/17/2010 | 61OC24A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 154 | 10/8/2009 | Wealth Forecasting | \$925.00 | 3/17/2010 | 61OC24A0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 154 | 10/13/2010 | Estate Planning | \$1,500.00 | 4/13/2011 | 6C7AAUA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 154 | 10/29/2007 | Strategy Other | \$2,700.00 | 4/24/2008 | 15554601 | \$ 2,376.00 | \$ 1,080.00 | \$ 1,296.00 |
| Investor 154 | 10/27/2008 | Strategy Other | \$2,900.00 | 4/27/2009 | 16862901 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| | | | \$23,650.00 | | | | | |
| Investor 155 | 12/17/2009 | Investment Planning | \$1,300.00 | 5/27/2010 | 63AUE7A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 155 | 12/1/2010 | FOCUSPlan | \$1,550.00 | 5/27/2011 | 6D42T5A0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 155 | 12/21/2011 | FOCUSPlan | \$1,750.00 | 6/14/2012 | 6MQV04A0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 155 | 12/11/2012 | Investment Planning | \$1,550.00 | 6/4/2013 | 721MTPA0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 155 | 12/11/2013 | FOCUSPlan | \$2,450.00 | 6/2/2014 | 7F11PZA0 | \$ 2,156.00 | \$ 980.00 | \$ 1,176.00 |
| Investor 155 | 12/10/2014 | FOCUSPlan | \$2,200.00 | 6/10/2015 | 7S8W8DA0 | \$ 1,650.00 | \$ 880.00 | \$ 770.00 |
| Investor 155 | 8/30/2007 | FOCUSPlan Other | \$800.00 | 2/21/2008 | 15332101 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 155 | 12/18/2008 | FOCUSPlan Other | \$730.00 | 5/26/2009 | 17026201 | \$ 642.40 | \$ 292.00 | \$ 350.40 |
| | | | \$12,330.00 | | | | | |

| Investor # | Signed Date | Service Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought | |
|--------------|-------------|---------------------|--------------------|------------------|-----------------------|----------------------------|-----------------------------|-------------|
| Investor 156 | 10/23/2007 | Strategy Other | \$750.00 | 4/24/2008 | 15532801 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| | | | \$750.00 | | | | | |
| Investor 157 | 11/27/2012 | FOCUSPlan | \$2,300.00 | 5/7/2013 | 712JIA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 157 | 2/4/2014 | Detailed Cash Flow | \$5,000.00 | 8/4/2014 | 7HQY7QA0 | \$ 3,750.00 | \$ 2,000.00 | \$ 1,750.00 |
| Investor 157 | 1/20/2015 | Detailed Cash Flow | \$4,500.00 | 4/17/2015 | 7TVH5SA0 | \$ 3,262.50 | \$ 1,800.00 | \$ 1,462.50 |
| Investor 157 | 1/14/2016 | Tax Sensitive | \$4,000.00 | 4/14/2016 | 88YDBPA0 | \$ 2,800.00 | \$ 1,600.00 | \$ 1,200.00 |
| Investor 157 | 1/14/2016 | Investment Planning | \$2,000.00 | 4/14/2016 | 88YDBPA0 | \$ 1,400.00 | \$ 800.00 | \$ 600.00 |
| Investor 157 | 1/20/2015 | Investment Planning | \$2,500.00 | 4/17/2015 | 7TVH5SA0 | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 157 | 2/4/2014 | Investment Planning | \$2,500.00 | 8/4/2014 | 7HQY7QA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 157 | 2/4/2014 | Wealth Forecasting | \$1,000.00 | 8/4/2014 | 7HQY7QA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 157 | 1/20/2015 | Wealth Forecasting | \$1,000.00 | 4/17/2015 | 7TVH5SA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 157 | 1/14/2016 | Wealth Forecasting | \$1,000.00 | 4/14/2016 | 88YDBPA0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| Investor 157 | 1/14/2016 | Estate Planning | \$1,450.00 | 4/14/2016 | 88YDBPA0 | \$ 1,015.00 | \$ 580.00 | \$ 435.00 |
| Investor 157 | 1/20/2015 | Estate Planning | \$3,000.00 | 4/17/2015 | 7TVH5SA0 | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 157 | 2/4/2014 | Estate Planning | \$3,000.00 | 8/4/2014 | 7HQY7QA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| | | | \$33,250.00 | | | | | |
| Investor 158 | 12/7/2009 | Investment Planning | \$800.00 | 5/10/2010 | 6327A6A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 158 | 12/15/2010 | Investment Planning | \$1,100.00 | 5/16/2011 | 6DH1UEA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 158 | 12/8/2011 | Investment Planning | \$1,050.00 | 5/2/2012 | 6MKCXXA0 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 158 | 12/12/2012 | Investment Planning | \$800.00 | 6/4/2013 | 721MU4A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 158 | 12/26/2007 | Strategy Other | \$1,100.00 | 5/14/2008 | 15779101 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 158 | 12/15/2008 | Strategy Other | \$1,200.00 | 5/26/2009 | 17017701 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| | | | \$6,050.00 | | | | | |
| Investor 159 | 10/19/2009 | FOCUSPlan | \$2,000.00 | 4/1/2010 | 62A6D0A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 1/11/2011 | FOCUSPlan | \$2,000.00 | 7/11/2011 | 6ELI8TA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 9/27/2011 | FOCUSPlan | \$1,700.00 | 3/27/2012 | 6LEQCIA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 159 | 10/25/2012 | FOCUSPlan | \$1,700.00 | 4/18/2013 | 7051UKA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 159 | 10/23/2013 | FOCUSPlan | \$1,700.00 | 1/28/2014 | 7EM8SUA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 159 | 10/23/2013 | Investment Planning | \$1,700.00 | 1/28/2014 | 7EM8SUA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 159 | 10/25/2012 | Investment Planning | \$2,000.00 | 4/18/2013 | 7051UKA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 9/27/2011 | Investment Planning | \$2,500.00 | 3/27/2012 | 6LEQCIA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 159 | 1/11/2011 | Investment Planning | \$1,500.00 | 7/11/2011 | 6ELI8TA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 159 | 10/19/2009 | Investment Planning | \$1,500.00 | 4/1/2010 | 62A6D0A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 159 | 10/19/2009 | Wealth Forecasting | \$1,000.00 | 4/1/2010 | 62A6D0A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 159 | 1/11/2011 | Wealth Forecasting | \$1,000.00 | 7/11/2011 | 6ELI8TA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 159 | 9/27/2011 | Wealth Forecasting | \$1,000.00 | 3/27/2012 | 6LEQCIA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 159 | 10/25/2012 | Wealth Forecasting | \$1,000.00 | 4/18/2013 | 7051UKA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 159 | 10/23/2013 | Wealth Forecasting | \$1,000.00 | 1/28/2014 | 7EM8SUA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 159 | 10/23/2013 | Estate Planning | \$1,550.00 | 1/28/2014 | 7EM8SUA0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 159 | 10/25/2012 | Estate Planning | \$1,550.00 | 4/18/2013 | 7051UKA0 | \$ 1,364.00 | \$ 620.00 | \$ 744.00 |
| Investor 159 | 9/27/2011 | Estate Planning | \$2,000.00 | 3/27/2012 | 6LEQCIA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 1/11/2011 | Estate Planning | \$2,000.00 | 7/11/2011 | 6ELI8TA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 10/19/2009 | Estate Planning | \$2,000.00 | 4/1/2010 | 62A6D0A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 159 | 10/15/2007 | FOCUSPlan Other | \$1,700.00 | 3/28/2008 | 15499401 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 159 | 10/15/2007 | Strategy Other | \$3,500.00 | 3/28/2008 | 15499401 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 159 | 10/28/2008 | FOCUSPlan Other | \$1,500.00 | 4/23/2009 | 16868501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 159 | 10/28/2008 | Strategy Other | \$4,500.00 | 4/23/2009 | 16868501 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| | | | \$43,600.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 160 | 7/8/2010 | Investment Planning | \$1,500.00 | 1/5/2011 | 68QG2EAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 160 | 8/2/2011 | FOCUSPlan | \$1,900.00 | 10/13/2011 | 6KHOPWAO | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 160 | 7/18/2012 | FOCUSPlan | \$1,200.00 | 12/18/2012 | 6WHRU9AO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 160 | 7/9/2013 | FOCUSPlan | \$1,200.00 | 1/9/2014 | 79C83CAO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 160 | 7/3/2014 | FOCUSPlan | \$1,100.00 | 10/24/2014 | 7KMWVHAA | \$ 825.00 | \$ 440.00 | \$ 385.00 |
| Investor 160 | 7/14/2015 | FOCUSPlan | \$1,100.00 | 10/12/2015 | 808YVUAO | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 160 | 7/14/2015 | Investment Planning | \$900.00 | 10/12/2015 | 808YVUAO | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 160 | 7/3/2014 | Investment Planning | \$1,050.00 | 10/24/2014 | 7KMWVHAA | \$ 787.50 | \$ 420.00 | \$ 367.50 |
| Investor 160 | 7/9/2013 | Investment Planning | \$1,200.00 | 1/9/2014 | 79C83CAO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 160 | 7/18/2012 | Investment Planning | \$1,500.00 | 12/18/2012 | 6WHRU9AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 160 | 8/2/2011 | Investment Planning | \$1,500.00 | 10/13/2011 | 6KHOPWAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 160 | 7/8/2010 | Wealth Forecasting | \$1,000.00 | 1/5/2011 | 68QG2EAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 160 | 7/8/2010 | Estate Planning | \$2,000.00 | 1/5/2011 | 68QG2EAO | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 160 | 8/2/2011 | Wealth Forecasting | \$1,000.00 | 10/13/2011 | 6KHOPWAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 160 | 7/18/2012 | Wealth Forecasting | \$1,000.00 | 12/18/2012 | 6WHRU9AO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 160 | 7/9/2013 | Wealth Forecasting | \$1,000.00 | 1/9/2014 | 79C83CAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 160 | 7/3/2014 | Wealth Forecasting | \$900.00 | 10/24/2014 | 7KMWVHAA | \$ 675.00 | \$ 360.00 | \$ 315.00 |
| Investor 160 | 7/14/2015 | Wealth Forecasting | \$900.00 | 10/12/2015 | 808YVUAO | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 160 | 7/21/2007 | FOCUSPlan Other | \$2,000.00 | 1/25/2008 | 1518200I | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 160 | 7/21/2007 | Strategy Other | \$3,300.00 | 1/25/2008 | 1518200I | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| Investor 160 | 7/23/2008 | FOCUSPlan Other | \$2,000.00 | 1/27/2009 | 1654460I | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 160 | 7/23/2008 | Strategy Other | \$3,800.00 | 1/27/2009 | 1654460I | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| Investor 160 | 7/16/2009 | Investment Planning | \$1,500.00 | 11/2/2009 | 1772610I | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 160 | 7/16/2009 | Wealth Forecasting | \$1,000.00 | 11/2/2009 | 1772610I | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 160 | 7/16/2009 | Estate Planning | \$1,800.00 | 11/2/2009 | 1772610I | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| | | | \$37,350.00 | | | | | |
| Investor 161 | 7/21/2010 | Investment Planning | \$750.00 | 11/29/2010 | 67Y5MWAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 161 | 8/8/2011 | Investment Planning | \$800.00 | 11/14/2011 | 6KS049AO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 161 | 9/28/2012 | FOCUSPlan | \$675.00 | 3/23/2013 | 6YZAMPAO | \$ 594.00 | \$ 270.00 | \$ 324.00 |
| Investor 161 | 8/5/2013 | Investment Planning | \$725.00 | 1/22/2014 | 79HC8GAO | \$ 638.00 | \$ 290.00 | \$ 348.00 |
| Investor 161 | 8/11/2014 | FOCUSPlan | \$750.00 | 2/10/2015 | 7M3GMFAO | \$ 562.50 | \$ 300.00 | \$ 262.50 |
| Investor 161 | 8/3/2015 | Investment Planning | \$800.00 | 12/3/2015 | 82UINIAO | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 161 | 7/13/2009 | Investment Planning | \$650.00 | 12/18/2009 | 1770160I | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| | | | \$5,150.00 | | | | | |
| Investor 162 | 2/14/2012 | Investment Planning | \$1,460.00 | 8/2/2012 | 6NPSN1AO | \$ 1,284.80 | \$ 584.00 | \$ 700.80 |
| | | | \$1,460.00 | | | | | |
| Investor 163 | 5/30/2011 | Investment Planning | \$790.00 | 11/30/2011 | 6GOXL6AO | \$ 695.20 | \$ 316.00 | \$ 379.20 |
| Investor 163 | 6/8/2012 | Investment Planning | \$750.00 | 11/16/2012 | 6PIUWPAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 163 | 7/12/2013 | Investment Planning | \$750.00 | 1/21/2014 | 78Y2Z3AO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 163 | 7/21/2014 | FOCUSPlan | \$725.00 | 1/21/2015 | 7L4O6RAO | \$ 543.75 | \$ 290.00 | \$ 253.75 |
| Investor 163 | 8/5/2015 | Investment Planning | \$700.00 | 12/3/2015 | 82WMZGAO | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 163 | 5/26/2010 | FOCUS Plan | \$650.00 | 11/22/2010 | 66VY95AO | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| | | | \$4,365.00 | | | | | |
| Investor 164 | 8/14/2009 | FOCUSPlan | \$1,450.00 | 12/8/2009 | 60HUB8AO | \$ 1,276.00 | \$ 580.00 | \$ 696.00 |
| Investor 164 | 8/11/2010 | FOCUSPlan | \$1,500.00 | 12/9/2010 | 68TBNZAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/17/2011 | FOCUSPlan | \$1,500.00 | 2/13/2012 | 6KRUL2AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/22/2012 | FOCUSPlan | \$1,000.00 | 1/29/2013 | 6X0QTVVAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 164 | 8/12/2013 | FOCUSPlan | \$2,500.00 | 1/22/2014 | 79NPRJAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 164 | 8/4/2014 | FOCUSPlan | \$2,100.00 | 12/3/2014 | 7LRZLJAO | \$ 1,575.00 | \$ 840.00 | \$ 735.00 |
| Investor 164 | 8/3/2015 | FOCUSPlan | \$2,100.00 | 12/10/2015 | 82V17NAO | \$ 1,522.50 | \$ 840.00 | \$ 682.50 |
| Investor 164 | 8/3/2015 | Investment Planning | \$1,200.00 | 12/10/2015 | 82V17NAO | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 164 | 8/4/2014 | Investment Planning | \$1,500.00 | 12/3/2014 | 7LRZLJAO | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 164 | 8/12/2013 | Investment Planning | \$1,500.00 | 1/22/2014 | 79NPRJAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/22/2012 | Investment Planning | \$1,500.00 | 1/29/2013 | 6X0QTWAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/17/2011 | Investment Planning | \$1,600.00 | 2/13/2012 | 6KRULZAO | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| Investor 164 | 8/11/2010 | Investment Planning | \$1,500.00 | 12/9/2010 | 68TBNZAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/14/2009 | Investment Planning | \$1,500.00 | 12/8/2009 | 60HUB8AO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 164 | 8/12/2013 | Wealth Forecasting | \$500.00 | 1/22/2014 | 79NPRJAO | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 164 | 8/4/2014 | Wealth Forecasting | \$500.00 | 12/3/2014 | 7LRZLJAO | \$ 375.00 | \$ 200.00 | \$ 175.00 |
| Investor 164 | 8/3/2015 | Wealth Forecasting | \$500.00 | 12/10/2015 | 82V17NAO | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| Investor 164 | 8/23/2007 | Strategy Other | \$3,500.00 | 2/25/2008 | 15311301 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 164 | 8/21/2008 | Strategy Other | \$3,000.00 | 12/3/2008 | 16640101 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| | | | \$30,450.00 | | | | | |
| Investor 165 | 8/11/2009 | Investment Planning | \$750.00 | 12/8/2009 | 60I3VPAO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 165 | 8/13/2010 | Investment Planning | \$950.00 | 12/9/2010 | 68XIYSAO | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 165 | 8/17/2011 | Investment Planning | \$1,100.00 | 2/9/2012 | 6KRUKNAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 165 | 8/24/2012 | Investment Planning | \$975.00 | 2/25/2013 | 6WUOGJAO | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| Investor 165 | 8/13/2013 | Investment Planning | \$1,250.00 | 1/22/2014 | 79MX7IAO | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 165 | 8/4/2014 | FOCUSPlan | \$1,200.00 | 2/5/2015 | 7LQVHZAO | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 165 | 8/3/2015 | FOCUSPlan | \$1,500.00 | 2/5/2016 | 82UIFVAO | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| | | | \$7,725.00 | | | | | |
| Investor 166 | 12/28/2009 | FOCUSPlan | \$1,400.00 | 7/1/2010 | 63DI64AO | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 166 | 3/11/2011 | Investment Planning | \$1,500.00 | 9/13/2011 | 6FA6QLAO | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 166 | 3/9/2012 | Investment Planning | \$1,900.00 | 8/28/2012 | 604A2TAO | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 166 | 3/17/2013 | Investment Planning | \$1,850.00 | 8/20/2013 | 73X5ZAAO | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 166 | 3/12/2014 | Investment Planning | \$1,600.00 | 7/23/2014 | 711UWFAO | \$ 1,200.00 | \$ 640.00 | \$ 560.00 |
| Investor 166 | 3/6/2015 | Investment Planning | \$1,600.00 | 8/10/2015 | 7VCBSWAO | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 166 | 3/7/2016 | Investment Planning | \$1,350.00 | 8/17/2016 | 89G3K6AO | \$ 945.00 | \$ 540.00 | \$ 405.00 |
| Investor 166 | 3/11/2011 | Wealth Forecasting | \$500.00 | 9/13/2011 | 6FA6QLAO | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| | | | \$11,700.00 | | | | | |
| Investor 167 | 10/14/2013 | FOCUSPlan | \$800.00 | 2/20/2014 | 7EHJ8XAO | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 167 | 11/10/2014 | Investment Planning | \$700.00 | 5/10/2015 | 7QXQ9ZAO | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 167 | 10/14/2015 | Investment Planning | \$700.00 | 4/6/2016 | 85WNKCAO | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| | | | \$2,200.00 | | | | | |
| Investor 168 | 8/10/2009 | Investment Planning | \$850.00 | 12/31/2009 | 61C5UHAO | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 168 | 9/2/2010 | Investment Planning | \$1,050.00 | 2/11/2011 | 6BJJBAO | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| Investor 168 | 9/6/2011 | FOCUSPlan | \$1,200.00 | 2/29/2012 | 6L2WRIAO | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 168 | 9/5/2012 | Investment Planning | \$1,100.00 | 3/5/2013 | 7052CZAO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 168 | 9/10/2013 | Investment Planning | \$1,100.00 | 2/28/2014 | 7ACHV9AO | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 168 | 10/24/2014 | Investment Planning | \$1,000.00 | 4/24/2015 | 7QD5VNAO | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 168 | 10/17/2015 | Investment Planning | \$1,000.00 | 4/11/2016 | 866L3KAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 168 | 3/21/2008 | FOCUSPlan Other | \$600.00 | 8/15/2008 | 16116301 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 168 | 8/8/2008 | Strategy Other | \$600.00 | 2/9/2009 | 16611501 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| | | | \$8,500.00 | | | | | |
| Investor 169 | 8/12/2009 | Investment Planning | \$750.00 | 12/28/2009 | 60HUA9AO | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 169 | 8/18/2010 | Investment Planning | \$850.00 | 12/9/2010 | 68XIZSAO | \$ 748.00 | \$ 340.00 | \$ 408.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 169 | 8/18/2011 | Investment Planning | \$800.00 | 2/3/2012 | 6KRJDA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 169 | 8/23/2012 | Investment Planning | \$650.00 | 2/20/2013 | 6WQLQ2A0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 169 | 8/27/2013 | Investment Planning | \$600.00 | 1/22/2014 | 7A37HSA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 169 | 8/14/2014 | Investment Planning | \$500.00 | 1/22/2015 | 7MIPTDA0 | \$ 375.00 | \$ 200.00 | \$ 175.00 |
| Investor 169 | 8/24/2007 | Strategy Other | \$900.00 | 2/21/2008 | 15316701 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 169 | 8/29/2008 | Strategy Other | \$950.00 | 3/3/2009 | 16668701 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| | | | \$6,000.00 | | | | | |
| Investor 170 | 12/3/2009 | FOCUSPlan | \$1,500.00 | 6/2/2010 | 62ZHONA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 170 | 12/13/2010 | FOCUSPlan | \$2,000.00 | 6/7/2011 | 6DLXGHA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 170 | 12/7/2011 | FOCUSPlan | \$2,500.00 | 5/29/2012 | 6MJP2VA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 170 | 12/5/2012 | FOCUSPlan | \$2,000.00 | 6/4/2013 | 71KSJNA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 170 | 12/9/2013 | FOCUSPlan | \$2,000.00 | 6/6/2014 | 7FH5WYA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 170 | 12/8/2014 | FOCUSPlan | \$2,000.00 | 5/22/2015 | 7588JZA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 170 | 12/7/2015 | FOCUSPlan | \$2,000.00 | 5/27/2016 | 88AY4RA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 170 | 12/7/2015 | Investment Planning | \$1,100.00 | 5/27/2016 | 88AY4RA0 | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| Investor 170 | 12/8/2014 | Investment Planning | \$1,100.00 | 5/22/2015 | 7588JZA0 | \$ 825.00 | \$ 440.00 | \$ 385.00 |
| Investor 170 | 12/9/2013 | Investment Planning | \$1,400.00 | 6/6/2014 | 7FH5WYA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 170 | 12/5/2012 | Investment Planning | \$1,500.00 | 6/4/2013 | 71KSJNA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 170 | 12/7/2011 | Investment Planning | \$1,000.00 | 5/29/2012 | 6MJP2VA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 170 | 12/13/2010 | Investment Planning | \$1,000.00 | 6/7/2011 | 6DLXGHA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 170 | 12/3/2009 | Investment Planning | \$1,500.00 | 6/2/2010 | 62ZHONA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 170 | 12/13/2010 | Wealth Forecasting | \$600.00 | 6/7/2011 | 6DLXGHA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 170 | 12/7/2011 | Wealth Forecasting | \$700.00 | 5/29/2012 | 6MJP2VA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 170 | 12/5/2012 | Wealth Forecasting | \$700.00 | 6/4/2013 | 71KSJNA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 170 | 12/9/2013 | Wealth Forecasting | \$700.00 | 6/6/2014 | 7FH5WYA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 170 | 12/8/2014 | Wealth Forecasting | \$700.00 | 5/22/2015 | 7588JZA0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 170 | 12/7/2015 | Wealth Forecasting | \$700.00 | 5/27/2016 | 88AY4RA0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 170 | 12/6/2007 | Strategy Other | \$2,900.00 | 5/29/2008 | 15711301 | \$ 2,552.00 | \$ 1,160.00 | \$ 1,392.00 |
| Investor 170 | 12/4/2008 | FOCUSPlan Other | \$1,500.00 | 6/10/2009 | 16988801 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 170 | 12/4/2008 | Strategy Other | \$2,300.00 | 6/10/2009 | 16988801 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| | | | \$33,400.00 | | | | | |
| Investor 171 | 11/9/2009 | Investment Planning | \$1,300.00 | 3/15/2010 | 62SIV3A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 171 | 11/8/2010 | FOCUSPlan | \$1,700.00 | 5/10/2011 | 6CSGNLA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 171 | 11/7/2011 | Investment Planning | \$2,100.00 | 5/7/2012 | 6MAM2BA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 171 | 11/12/2012 | Investment Planning | \$2,000.00 | 5/7/2013 | 70E4ZLA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 171 | 12/21/2013 | Investment Planning | \$2,100.00 | 5/22/2014 | 7GJUDSA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 171 | 11/18/2014 | Investment Planning | \$2,000.00 | 5/15/2015 | 7R2AI6A0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 171 | 2/3/2016 | Investment Planning | \$2,000.00 | 7/28/2016 | 894LFDAA0 | \$ 1,400.00 | \$ 800.00 | \$ 600.00 |
| Investor 171 | 12/6/2007 | Strategy Other | \$975.00 | 6/3/2008 | 15711701 | \$ 858.00 | \$ 390.00 | \$ 468.00 |
| Investor 171 | 11/7/2008 | Strategy Other | \$1,275.00 | 3/4/2009 | 16896201 | \$ 1,122.00 | \$ 510.00 | \$ 612.00 |
| | | | \$15,450.00 | | | | | |
| Investor 172 | 2/9/2010 | Investment Planning | \$995.00 | 6/1/2010 | 64FBD8A0 | \$ 875.60 | \$ 398.00 | \$ 477.60 |
| Investor 172 | 2/14/2011 | Investment Planning | \$1,200.00 | 6/20/2011 | 6FCOVDA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 172 | 2/22/2012 | Investment Planning | \$1,350.00 | 8/2/2012 | 6OY5VIA0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 172 | 2/27/2013 | Investment Planning | \$1,350.00 | 8/23/2013 | 75IAQRA0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 172 | 10/30/2014 | Investment Planning | \$1,200.00 | 4/8/2015 | 7QXQ9UA0 | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 172 | 11/18/2008 | FOCUSPlan Other | \$1,150.00 | 5/21/2009 | 16932501 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| | | | \$7,245.00 | | | | | |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 173 | 10/28/2009 | Investment Planning | \$1,500.00 | 2/16/2010 | 624IY4A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 173 | 10/29/2010 | Investment Planning | \$1,500.00 | 2/24/2011 | 6CKM9CA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 173 | 10/28/2011 | Investment Planning | \$2,500.00 | 2/3/2012 | 6M5UF1A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 173 | 10/24/2012 | Investment Planning | \$2,500.00 | 4/15/2013 | 703PM4A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 173 | 10/23/2013 | Investment Planning | \$2,500.00 | 2/28/2014 | 7EM8RSA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 173 | 10/27/2014 | Investment Planning | \$2,350.00 | 4/24/2015 | 7QEARYA0 | \$ 1,762.50 | \$ 940.00 | \$ 822.50 |
| Investor 173 | 10/8/2015 | FOCUSPlan | \$3,000.00 | 3/23/2016 | 8518DWA0 | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 173 | 10/8/2015 | Investment Planning | \$700.00 | 3/23/2016 | 8518DWA0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 173 | 10/27/2014 | Wealth Forecasting | \$950.00 | 4/24/2015 | 7QEARYA0 | \$ 712.50 | \$ 380.00 | \$ 332.50 |
| Investor 173 | 10/23/2013 | Wealth Forecasting | \$900.00 | 2/28/2014 | 7EM8RSA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 173 | 10/24/2012 | Wealth Forecasting | \$850.00 | 4/15/2013 | 703PM4A0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 173 | 10/28/2011 | Wealth Forecasting | \$1,000.00 | 2/3/2012 | 6M5UF1A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 173 | 10/29/2010 | Wealth Forecasting | \$1,000.00 | 2/24/2011 | 6CKM9CA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 173 | 10/28/2009 | Wealth Forecasting | \$1,000.00 | 2/16/2010 | 624IY4A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 173 | 10/29/2010 | Estate Planning | \$500.00 | 2/24/2011 | 6CKM9CA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 173 | 10/31/2007 | Strategy Other | \$2,400.00 | 5/5/2008 | 15566601 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 173 | 10/24/2008 | Strategy Other | \$3,100.00 | 3/2/2009 | 16859701 | \$ 2,728.00 | \$ 1,240.00 | \$ 1,488.00 |
| | | | \$28,250.00 | | | | | |
| Investor 174 | 10/28/2009 | FOCUSPlan | \$2,000.00 | 2/16/2010 | 624IYYA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 174 | 10/26/2011 | FOCUSPlan | \$2,200.00 | 2/3/2012 | 6LY8PRA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 174 | 10/24/2012 | FOCUSPlan | \$3,000.00 | 4/15/2013 | 704EMTA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 174 | 10/23/2013 | FOCUSPlan | \$3,000.00 | 2/28/2014 | 7EM8SSA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 174 | 10/27/2014 | FOCUSPlan | \$3,000.00 | 4/24/2015 | 7QEANRA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 174 | 10/8/2015 | FOCUSPlan | \$3,000.00 | 1/29/2016 | 85186IA0 | \$ 2,175.00 | \$ 1,200.00 | \$ 975.00 |
| Investor 174 | 10/29/2010 | FOCUSPlan | \$2,000.00 | 2/14/2011 | 8ALXPSA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 174 | 10/29/2010 | Investment Planning | \$1,500.00 | 2/14/2011 | 8ALXPSA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 174 | 10/8/2015 | Investment Planning | \$2,000.00 | 1/29/2016 | 85186IA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 174 | 10/27/2014 | Investment Planning | \$2,000.00 | 4/24/2015 | 7QEANRA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 174 | 10/23/2013 | Investment Planning | \$2,500.00 | 2/28/2014 | 7EM8SSA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 174 | 10/24/2012 | Investment Planning | \$2,500.00 | 4/15/2013 | 704EMTA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 174 | 10/26/2011 | Investment Planning | \$2,500.00 | 2/3/2012 | 6LY8PRA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 174 | 10/28/2009 | Investment Planning | \$1,500.00 | 2/16/2010 | 624IYYA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 174 | 10/28/2009 | Wealth Forecasting | \$500.00 | 2/16/2010 | 624IYYA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 174 | 10/26/2011 | Wealth Forecasting | \$1,000.00 | 2/3/2012 | 6LY8PRA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 174 | 10/24/2012 | Wealth Forecasting | \$700.00 | 4/15/2013 | 704EMTA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 174 | 10/23/2013 | Wealth Forecasting | \$800.00 | 2/28/2014 | 7EM8SSA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 174 | 10/27/2014 | Wealth Forecasting | \$950.00 | 4/24/2015 | 7QEANRA0 | \$ 712.50 | \$ 380.00 | \$ 332.50 |
| Investor 174 | 10/8/2015 | Wealth Forecasting | \$950.00 | 1/29/2016 | 85186IA0 | \$ 688.75 | \$ 380.00 | \$ 308.75 |
| Investor 174 | 10/29/2010 | Wealth Forecasting | \$1,000.00 | 2/14/2011 | 8ALXPSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 174 | 10/29/2010 | Estate Planning | \$1,000.00 | 2/14/2011 | 8ALXPSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 174 | 10/26/2011 | Estate Planning | \$1,000.00 | 2/3/2012 | 6LY8PRA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 174 | 10/28/2009 | Estate Planning | \$700.00 | 2/16/2010 | 624IYYA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 174 | 10/31/2007 | Strategy Other | \$4,400.00 | 5/5/2008 | 15566501 | \$ 3,872.00 | \$ 1,760.00 | \$ 2,112.00 |
| Investor 174 | 10/24/2008 | FOCUSPlan Other | \$1,900.00 | 3/2/2009 | 16860901 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 174 | 10/24/2008 | Strategy Other | \$4,000.00 | 3/2/2009 | 16860901 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| | | | \$51,600.00 | | | | | |
| Investor 175 | 7/13/2010 | Investment Planning | \$950.00 | 11/30/2010 | 67RJE8A0 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| Investor 175 | 8/1/2011 | Investment Planning | \$975.00 | 1/31/2012 | 6KGFMA0 | \$ 858.00 | \$ 390.00 | \$ 468.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 175 | 6/15/2012 | Investment Planning | \$750.00 | 11/26/2012 | 6PMLH5A0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 175 | 5/29/2013 | Investment Planning | \$780.00 | 10/25/2013 | 76GY0BA0 | \$ 686.40 | \$ 312.00 | \$ 374.40 |
| Investor 175 | 6/16/2014 | Investment Planning | \$600.00 | 12/9/2014 | 7JU1SBA0 | \$ 450.00 | \$ 240.00 | \$ 210.00 |
| Investor 175 | 6/30/2015 | Investment Planning | \$450.00 | 11/6/2015 | 7ZLOIFA0 | \$ 326.25 | \$ 180.00 | \$ 146.25 |
| Investor 175 | 8/15/2007 | Strategy Other | \$1,050.00 | 2/14/2008 | 15272701 | \$ 924.00 | \$ 420.00 | \$ 504.00 |
| | | | \$5,555.00 | | | | | |
| Investor 176 | 7/27/2012 | FOCUSPlan | \$800.00 | 1/11/2013 | 6W7P0FA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 176 | 12/5/2013 | Investment Planning | \$450.00 | 4/30/2014 | 7FEKTJA0 | \$ 396.00 | \$ 180.00 | \$ 216.00 |
| Investor 176 | 12/29/2014 | Investment Planning | \$400.00 | 3/19/2015 | 7T3H1RA0 | \$ 300.00 | \$ 160.00 | \$ 140.00 |
| Investor 176 | 9/14/2015 | Investment Planning | \$400.00 | 12/3/2015 | 84CT0DA0 | \$ 290.00 | \$ 160.00 | \$ 130.00 |
| | | | \$2,050.00 | | | | | |
| Investor 177 | 1/8/2015 | FOCUSPlan | \$1,200.00 | 4/17/2015 | 7T07ULA0 | \$ 870.00 | \$ 480.00 | \$ 390.00 |
| Investor 177 | 3/2/2016 | FOCUSPlan | \$1,600.00 | 7/15/2016 | 89EO98A0 | \$ 1,120.00 | \$ 640.00 | \$ 480.00 |
| Investor 177 | 3/2/2016 | Investment Planning | \$1,000.00 | 7/15/2016 | 89EO98A0 | \$ 700.00 | \$ 400.00 | \$ 300.00 |
| | | | \$3,800.00 | | | | | |
| Investor 178 | 9/8/2009 | Investment Planning | \$750.00 | 1/11/2010 | 611SLMA0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 178 | 9/14/2010 | Investment Planning | \$760.00 | 2/23/2011 | 6BPOALA0 | \$ 668.80 | \$ 304.00 | \$ 364.80 |
| Investor 178 | 9/13/2011 | Investment Planning | \$750.00 | 3/13/2012 | 6L6EA8A0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 178 | 9/17/2012 | Investment Planning | \$650.00 | 3/15/2013 | 6XT5DHA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 178 | 9/11/2013 | Investment Planning | \$500.00 | 3/11/2014 | 7BBYNPA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 178 | 9/15/2014 | Investment Planning | \$400.00 | 1/15/2015 | 7NDN2BA0 | \$ 300.00 | \$ 160.00 | \$ 140.00 |
| Investor 178 | 9/9/2015 | Investment Planning | \$1,550.00 | 3/4/2016 | 83UI5OA0 | \$ 1,123.75 | \$ 620.00 | \$ 503.75 |
| Investor 178 | 9/12/2007 | Strategy Other | \$930.00 | 3/12/2008 | 15383701 | \$ 818.40 | \$ 372.00 | \$ 446.40 |
| Investor 178 | 9/12/2008 | Strategy Other | \$1,000.00 | 3/10/2009 | 16707801 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| | | | \$7,290.00 | | | | | |
| Investor 179 | 9/8/2009 | Investment Planning | \$1,500.00 | 2/22/2010 | 611SNA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 179 | 9/14/2010 | Investment Planning | \$1,200.00 | 3/15/2011 | 6BPOD7A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 179 | 9/13/2011 | Investment Planning | \$1,980.00 | 3/13/2012 | 6L6E9TA0 | \$ 1,742.40 | \$ 792.00 | \$ 950.40 |
| Investor 179 | 9/17/2012 | Investment Planning | \$2,100.00 | 3/15/2013 | 6Y4CMVA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 179 | 9/16/2013 | Investment Planning | \$2,100.00 | 3/11/2014 | 7BBYO4A0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 179 | 9/14/2010 | Wealth Forecasting | \$700.00 | 3/15/2011 | 6BPOD7A0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 179 | 9/8/2009 | Wealth Forecasting | \$300.00 | 2/22/2010 | 611SNA0 | \$ 264.00 | \$ 120.00 | \$ 144.00 |
| Investor 179 | 9/14/2007 | Strategy Other | \$1,250.00 | 3/28/2008 | 15383201 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| Investor 179 | 9/14/2007 | Select Module | \$750.00 | 3/28/2008 | 15383201 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 179 | 9/12/2008 | Strategy Other | \$2,250.00 | 3/10/2009 | 16705101 | \$ 1,980.00 | \$ 900.00 | \$ 1,080.00 |
| | | | \$14,130.00 | | | | | |
| Investor 180 | 9/8/2009 | FOCUSPlan | \$2,000.00 | 12/28/2009 | 61J9MJA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 180 | 9/17/2010 | FOCUSPlan | \$2,000.00 | 12/27/2010 | 6C20I8A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 180 | 11/1/2011 | FOCUSPlan | \$3,000.00 | 3/19/2012 | 6MIVFGA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 180 | 11/1/2011 | Investment Planning | \$1,800.00 | 3/19/2012 | 6MIVFGA0 | \$ 1,584.00 | \$ 720.00 | \$ 864.00 |
| Investor 180 | 9/17/2010 | Investment Planning | \$1,500.00 | 12/27/2010 | 6C20I8A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 180 | 9/8/2009 | Investment Planning | \$1,500.00 | 12/28/2009 | 61J9MJA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 180 | 9/8/2009 | Wealth Forecasting | \$1,000.00 | 12/28/2009 | 61J9MJA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 180 | 9/17/2010 | Wealth Forecasting | \$1,000.00 | 12/27/2010 | 6C20I8A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 180 | 11/1/2011 | Wealth Forecasting | \$1,000.00 | 3/19/2012 | 6MIVFGA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 180 | 9/17/2010 | Estate Planning | \$900.00 | 12/27/2010 | 6C20I8A0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 180 | 9/8/2009 | Estate Planning | \$1,100.00 | 12/28/2009 | 61J9MJA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 180 | 10/12/2007 | FOCUSPlan Other | \$2,000.00 | 4/23/2008 | 15490801 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 180 | 10/12/2007 | Strategy Other | \$3,800.00 | 4/23/2008 | 15490801 | \$ 3,344.00 | \$ 1,520.00 | \$ 1,824.00 |
| Investor 180 | 10/7/2008 | FOCUSPlan Other | \$2,000.00 | 3/2/2009 | 16791501 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 180 | 10/7/2008 | Strategy Other | \$4,000.00 | 3/2/2009 | 16791501 | \$ 3,520.00 | \$ 1,600.00 | \$ 1,920.00 |
| | | | \$28,600.00 | | | | | |
| Investor 181 | 9/13/2012 | FOCUSPlan | \$3,000.00 | 3/12/2013 | 6YZY99A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 181 | 10/12/2013 | FOCUSPlan | \$3,000.00 | 1/27/2014 | 7EKG03A0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 181 | 10/14/2014 | FOCUSPlan | \$2,100.00 | 12/9/2014 | 7PBXQ0A0 | \$ 1,575.00 | \$ 840.00 | \$ 735.00 |
| Investor 181 | 9/30/2015 | Investment Planning | \$1,500.00 | 3/23/2016 | 85DNJ2A0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 181 | 9/30/2015 | Wealth Forecasting | \$750.00 | 3/23/2016 | 85DNJ2A0 | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| Investor 181 | 10/14/2014 | Investment Planning | \$1,000.00 | 12/9/2014 | 7PBXQ0A0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 181 | 10/12/2013 | Investment Planning | \$1,000.00 | 1/27/2014 | 7EKG03A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 181 | 9/13/2012 | Investment Planning | \$1,650.00 | 3/12/2013 | 6YZY99A0 | \$ 1,452.00 | \$ 660.00 | \$ 792.00 |
| Investor 181 | 9/13/2012 | Wealth Forecasting | \$1,000.00 | 3/12/2013 | 6YZY99A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 181 | 10/12/2013 | Wealth Forecasting | \$1,000.00 | 1/27/2014 | 7EKG03A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 181 | 10/14/2014 | Wealth Forecasting | \$1,000.00 | 12/9/2014 | 7PBXQ0A0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 181 | 9/30/2015 | Estate Planning | \$750.00 | 3/23/2016 | 85DNJ2A0 | \$ 543.75 | \$ 300.00 | \$ 243.75 |
| | | | \$17,750.00 | | | | | |
| Investor 182 | 4/28/2011 | FOCUSPlan | \$1,200.00 | 10/7/2011 | 6G3JQT A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 182 | 4/12/2012 | Wealth Forecasting | \$200.00 | 10/8/2012 | 6OUKOJA0 | \$ 176.00 | \$ 80.00 | \$ 96.00 |
| Investor 182 | 4/9/2013 | Investment Planning | \$1,075.00 | 9/12/2013 | 7502L4A0 | \$ 946.00 | \$ 430.00 | \$ 516.00 |
| Investor 182 | 4/28/2014 | Investment Planning | \$1,150.00 | 10/28/2014 | 7IRM2A0 | \$ 862.50 | \$ 460.00 | \$ 402.50 |
| | | | \$3,625.00 | | | | | |
| Investor 183 | 6/17/2010 | Investment Planning | \$1,500.00 | 10/25/2010 | 67EQ6QA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 183 | 6/16/2011 | FOCUSPlan | \$2,000.00 | 10/7/2011 | 6H6TLXA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 183 | 6/14/2012 | Investment Planning | \$2,200.00 | 11/27/2012 | 6PLR9AA0 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| Investor 183 | 6/10/2013 | FOCUSPlan | \$2,950.00 | 11/15/2013 | 76XQSLA0 | \$ 2,596.00 | \$ 1,180.00 | \$ 1,416.00 |
| Investor 183 | 6/12/2014 | FOCUSPlan | \$2,500.00 | 12/5/2014 | 7JXKZYA0 | \$ 1,875.00 | \$ 1,000.00 | \$ 875.00 |
| Investor 183 | 6/11/2015 | Investment Planning | \$2,300.00 | 9/28/2015 | 7YASBNA0 | \$ 1,667.50 | \$ 920.00 | \$ 747.50 |
| Investor 183 | 6/14/2012 | Wealth Forecasting | \$1,000.00 | 11/27/2012 | 6PLR9AA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 183 | 6/16/2011 | Investment Planning | \$1,700.00 | 10/7/2011 | 6H6TLXA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 183 | 6/17/2010 | Wealth Forecasting | \$700.00 | 10/25/2010 | 67EQ6QA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 183 | 6/17/2010 | Estate Planning | \$1,500.00 | 10/25/2010 | 67EQ6QA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 183 | 8/7/2007 | Strategy Other | \$3,700.00 | 2/14/2008 | 15576201 | \$ 3,256.00 | \$ 1,480.00 | \$ 1,776.00 |
| Investor 183 | 6/12/2008 | FOCUSPlan Other | \$2,000.00 | 10/27/2008 | 16406101 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 183 | 6/12/2008 | Strategy Other | \$2,350.00 | 10/27/2008 | 16406101 | \$ 2,068.00 | \$ 940.00 | \$ 1,128.00 |
| Investor 183 | 6/23/2009 | Investment Planning | \$1,500.00 | 11/16/2009 | 17647301 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 183 | 6/23/2009 | Wealth Forecasting | \$1,000.00 | 11/16/2009 | 17647301 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 183 | 6/23/2009 | Estate Planning | \$800.00 | 11/16/2009 | 17647301 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$29,700.00 | | | | | |
| Investor 184 | 5/9/2012 | Investment Planning | \$600.00 | 11/6/2012 | 6P3LGMA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 184 | 5/9/2013 | Start-up | \$650.00 | 11/13/2013 | 75LXOGA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 184 | 5/6/2014 | Start-up | \$675.00 | 10/30/2014 | 7IW4A4A0 | \$ 506.25 | \$ 270.00 | \$ 236.25 |
| Investor 184 | 5/7/2015 | Investment Planning | \$700.00 | 11/6/2015 | 7XIBUHA0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 184 | 3/19/2009 | FOCUSPlan | \$1,100.00 | 8/20/2009 | 17339101 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| | | | \$3,725.00 | | | | | |
| Investor 185 | 11/10/2015 | FOCUSPlan | \$1,100.00 | 3/1/2016 | 874MO1A0 | \$ 797.50 | \$ 440.00 | \$ 357.50 |
| | | | \$1,100.00 | | | | | |
| Investor 186 | 5/14/2010 | Investment Planning | \$1,400.00 | 9/7/2010 | 66MAY2A0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 186 | 5/18/2011 | Investment Planning | \$1,525.00 | 11/14/2011 | 6GG33UA0 | \$ 1,342.00 | \$ 610.00 | \$ 732.00 |
| Investor 186 | 5/2/2012 | FOCUSPlan | \$900.00 | 11/5/2012 | 6OX7OSA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 186 | 5/14/2009 | FOCUSPlan | \$1,300.00 | 11/16/2009 | 17529801 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| | | | \$5,125.00 | | | | | |
| Investor 187 | 1/6/2010 | Investment Planning | \$900.00 | 5/24/2010 | 63L7HSA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 187 | 1/5/2011 | Investment Planning | \$800.00 | 5/24/2011 | 6DVVOATA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 187 | 1/10/2012 | Investment Planning | \$600.00 | 6/21/2012 | 6N380TA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 187 | 1/15/2013 | Investment Planning | \$400.00 | 6/20/2013 | 72POLVA0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 187 | 1/9/2007 | Strategy Other | \$1,100.00 | 3/14/2007 | 14390701 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 187 | 1/14/2008 | Strategy Other | \$1,100.00 | 7/14/2008 | 15845301 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 187 | 1/16/2009 | Investment Planning | \$900.00 | 7/6/2009 | 17106501 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| | | | \$5,800.00 | | | | | |
| Investor 188 | 7/2/2014 | FOCUSPlan | \$500.00 | 12/29/2014 | 7KM7TLA0 | \$ 375.00 | \$ 200.00 | \$ 175.00 |
| Investor 188 | 12/4/2015 | Investment Planning | \$500.00 | 6/6/2016 | 8892PCA0 | \$ 362.50 | \$ 200.00 | \$ 162.50 |
| | | | \$1,000.00 | | | | | |
| Investor 189 | 12/28/2009 | Investment Planning | \$1,500.00 | 4/5/2010 | 63MYB7A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 189 | 12/3/2010 | FOCUSPlan | \$2,000.00 | 5/16/2011 | 6DA3TEA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 189 | 2/3/2012 | FOCUSPlan | \$2,000.00 | 6/22/2012 | 6NLVEQA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 189 | 2/4/2013 | FOCUSPlan | \$1,700.00 | 7/25/2013 | 734U2HA0 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 189 | 2/3/2014 | FOCUSPlan | \$2,625.00 | 7/23/2014 | 7HC2KMA0 | \$ 1,968.75 | \$ 1,050.00 | \$ 918.75 |
| Investor 189 | 2/4/2015 | FOCUSPlan | \$2,650.00 | 6/22/2015 | 7TZB9OA0 | \$ 1,921.25 | \$ 1,060.00 | \$ 861.25 |
| Investor 189 | 1/15/2016 | Investment Planning | \$2,300.00 | 5/20/2016 | 890XLP A0 | \$ 1,610.00 | \$ 920.00 | \$ 690.00 |
| Investor 189 | 2/4/2013 | Investment Planning | \$800.00 | 7/25/2013 | 734U2HA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 189 | 2/3/2012 | Investment Planning | \$1,000.00 | 6/22/2012 | 6NLVEQA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 189 | 12/3/2010 | Investment Planning | \$1,000.00 | 5/16/2011 | 6DA3TEA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 189 | 12/28/2009 | Wealth Forecasting | \$1,000.00 | 4/5/2010 | 63MYB7A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 189 | 12/28/2009 | Estate Planning | \$800.00 | 4/5/2010 | 63MYB7A0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 189 | 12/3/2010 | Wealth Forecasting | \$600.00 | 5/16/2011 | 6DA3TEA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 189 | 2/3/2012 | Wealth Forecasting | \$800.00 | 6/22/2012 | 6NLVEQA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 189 | 2/4/2013 | Wealth Forecasting | \$500.00 | 7/25/2013 | 734U2HA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 189 | 11/19/2007 | Strategy Other | \$3,500.00 | 5/20/2008 | 15646601 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 189 | 11/7/2008 | FOCUSPlan Other | \$2,000.00 | 4/14/2009 | 16908501 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 189 | 11/7/2008 | Strategy Other | \$2,200.00 | 4/14/2009 | 16908501 | \$ 1,936.00 | \$ 880.00 | \$ 1,056.00 |
| | | | \$28,975.00 | | | | | |
| Investor 190 | 10/7/2009 | FOCUSPlan | \$2,000.00 | 2/16/2010 | 61NETBA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 190 | 10/19/2010 | Tax-Sensitive | \$2,600.00 | 4/14/2011 | 6CD4C2A0 | \$ 2,288.00 | \$ 1,040.00 | \$ 1,248.00 |
| Investor 190 | 10/18/2011 | FOCUSPlan | \$2,600.00 | 2/9/2012 | 6LQ3LTA0 | \$ 2,288.00 | \$ 1,040.00 | \$ 1,248.00 |
| Investor 190 | 10/28/2012 | FOCUSPlan | \$3,000.00 | 4/18/2013 | 708FOSA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 190 | 10/28/2014 | FOCUSPlan | \$2,600.00 | 1/15/2015 | 7QEVCVA0 | \$ 1,950.00 | \$ 1,040.00 | \$ 910.00 |
| Investor 190 | 10/26/2015 | FOCUSPlan | \$2,500.00 | 1/21/2016 | 86APDRA0 | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 190 | 10/26/2015 | Investment Planning | \$2,000.00 | 1/21/2016 | 86APDRA0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 190 | 10/28/2014 | Wealth Forecasting | \$1,000.00 | 1/15/2015 | 7QEVCVA0 | \$ 750.00 | \$ 400.00 | \$ 350.00 |
| Investor 190 | 10/28/2012 | Investment Planning | \$2,500.00 | 4/18/2013 | 708FOSA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 190 | 10/18/2011 | Investment Planning | \$2,500.00 | 2/9/2012 | 6LQ3LTA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 190 | 10/19/2010 | Investment Planning | \$1,500.00 | 4/14/2011 | 6CD4C2A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 190 | 10/7/2009 | Investment Planning | \$1,500.00 | 2/16/2010 | 61NETBA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 190 | 10/7/2009 | Wealth Forecasting | \$400.00 | 2/16/2010 | 61NETBA0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 190 | 10/19/2010 | Wealth Forecasting | \$1,000.00 | 4/14/2011 | 6CD4C2A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 190 | 10/18/2011 | Wealth Forecasting | \$1,000.00 | 2/9/2012 | 6LQ3LTA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 190 | 10/28/2012 | Wealth Forecasting | \$1,000.00 | 4/18/2013 | 708FOSA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 190 | 10/28/2014 | Investment Planning | \$2,000.00 | 1/15/2015 | 7QEVCVA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 190 | 10/26/2015 | Wealth Forecasting | \$1,000.00 | 1/21/2016 | 86APDRA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 190 | 10/26/2015 | Estate Planning | \$650.00 | 1/21/2016 | 86APDRA0 | \$ 471.25 | \$ 260.00 | \$ 211.25 |
| Investor 190 | 10/28/2014 | Estate Planning | \$650.00 | 1/15/2015 | 7QEVCVA0 | \$ 487.50 | \$ 260.00 | \$ 227.50 |
| Investor 190 | 10/28/2012 | Estate Planning | \$650.00 | 4/18/2013 | 708FO5A0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 190 | 10/18/2011 | Estate Planning | \$2,000.00 | 2/9/2012 | 6LQ3LTA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 190 | 10/19/2010 | Estate Planning | \$2,000.00 | 4/14/2011 | 6CD4C2A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 190 | 10/7/2009 | Estate Planning | \$2,000.00 | 2/16/2010 | 61NETBA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 190 | 11/13/2007 | FOCUSPlan Other | \$1,500.00 | 5/23/2008 | 15613001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 190 | 11/13/2007 | Strategy Other | \$3,300.00 | 5/23/2008 | 15613001 | \$ 2,904.00 | \$ 1,320.00 | \$ 1,584.00 |
| Investor 190 | 11/5/2008 | FOCUSPlan Other | \$2,000.00 | 3/3/2009 | 16888301 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 190 | 11/5/2008 | Strategy Other | \$4,200.00 | 3/3/2009 | 16888301 | \$ 3,696.00 | \$ 1,680.00 | \$ 2,016.00 |
| | | | \$51,650.00 | | | | | |
| Investor 191 | 5/6/2010 | Investment Planning | \$825.00 | 8/9/2010 | 66FOCPA0 | \$ 726.00 | \$ 330.00 | \$ 396.00 |
| Investor 191 | 10/18/2011 | Investment Planning | \$700.00 | 2/3/2012 | 6LQ3MQA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| Investor 191 | 10/23/2012 | Investment Planning | \$400.00 | 4/10/2013 | 702WIPA0 | \$ 352.00 | \$ 160.00 | \$ 192.00 |
| Investor 191 | 3/28/2007 | Strategy Other | \$1,500.00 | 9/20/2007 | 14740401 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 191 | 3/26/2008 | Strategy Other | \$1,500.00 | 10/8/2008 | 16160601 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 191 | 4/12/2009 | Investment Planning | \$775.00 | 10/5/2009 | 17443201 | \$ 682.00 | \$ 310.00 | \$ 372.00 |
| | | | \$5,700.00 | | | | | |
| Investor 192 | 10/22/2013 | Tax-Sensitive | \$3,000.00 | 3/5/2014 | 7EZ7AMA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 192 | 10/22/2013 | Investment Planning | \$2,400.00 | 3/5/2014 | 7EZ7AMA0 | \$ 2,112.00 | \$ 960.00 | \$ 1,152.00 |
| Investor 192 | 10/22/2013 | Wealth Forecasting | \$1,000.00 | 3/5/2014 | 7EZ7AMA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 192 | 10/22/2013 | Estate Planning | \$650.00 | 3/5/2014 | 7EZ7AMA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| | | | \$7,050.00 | | | | | |
| Investor 193 | 8/3/2010 | Investment Planning | \$760.00 | 12/3/2010 | 68NN18A0 | \$ 668.80 | \$ 304.00 | \$ 364.80 |
| Investor 193 | 8/10/2011 | Investment Planning | \$850.00 | 1/27/2012 | 6KLO8MA0 | \$ 748.00 | \$ 340.00 | \$ 408.00 |
| Investor 193 | 8/7/2012 | Investment Planning | \$750.00 | 1/21/2013 | 6WE8Y2A0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 193 | 8/14/2013 | Investment Planning | \$750.00 | 2/14/2014 | 79N3MQA0 | \$ 660.00 | \$ 300.00 | \$ 360.00 |
| Investor 193 | 7/25/2007 | Strategy Other | \$800.00 | 1/25/2008 | 15196301 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 193 | 7/8/2008 | Strategy Other | \$760.00 | 1/23/2009 | 16489001 | \$ 668.80 | \$ 304.00 | \$ 364.80 |
| Investor 193 | 7/13/2009 | Investment Planning | \$760.00 | 12/8/2009 | 17701501 | \$ 668.80 | \$ 304.00 | \$ 364.80 |
| | | | \$5,430.00 | | | | | |
| Investor 194 | 10/29/2009 | Investment Planning | \$1,000.00 | 2/16/2010 | 62SSAYA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 194 | 10/15/2010 | Investment Planning | \$1,500.00 | 4/13/2011 | 6CB2TAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 194 | 10/9/2012 | FOCUSPlan | \$2,100.00 | 4/8/2013 | 62VC36A0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 194 | 10/8/2013 | Investment Planning | \$1,750.00 | 3/21/2014 | 7EAR50A0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 194 | 9/30/2014 | FOCUSPlan | \$1,200.00 | 3/19/2015 | 7OHV36A0 | \$ 900.00 | \$ 480.00 | \$ 420.00 |
| Investor 194 | 9/29/2015 | FOCUSPlan | \$900.00 | 3/29/2016 | 85DMT3A0 | \$ 652.50 | \$ 360.00 | \$ 292.50 |
| Investor 194 | 10/18/2011 | Investment Planning | \$1,500.00 | 4/16/2012 | 8AR5NYA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 194 | 5/20/2016 | Wealth Forecasting | \$900.00 | 5/23/2016 | 8AR5NYA0 | \$ 630.00 | \$ 360.00 | \$ 270.00 |
| Investor 194 | 10/15/2010 | Wealth Forecasting | \$925.00 | 4/13/2011 | 6CB2TAA0 | \$ 814.00 | \$ 370.00 | \$ 444.00 |
| Investor 194 | 10/29/2009 | Wealth Forecasting | \$500.00 | 2/16/2010 | 62SSAYA0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 194 | 10/29/2009 | Estate Planning | \$700.00 | 2/16/2010 | 62SSAYA0 | \$ 616.00 | \$ 280.00 | \$ 336.00 |
| | | | \$12,975.00 | | | | | |
| Investor 195 | 7/29/2009 | Investment Planning | \$1,500.00 | 12/15/2009 | 605DMHA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 195 | 8/12/2010 | FOCUSPlan | \$1,500.00 | 1/13/2011 | 68XK3DA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 195 | 2/12/2012 | FOCUSPlan | \$2,000.00 | 6/22/2012 | 6NOW01A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 195 | 3/4/2013 | FOCUSPlan | \$2,500.00 | 9/4/2013 | 73LQILA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 195 | 3/4/2013 | Investment Planning | \$2,000.00 | 9/4/2013 | 73LQILA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 195 | 2/12/2012 | Investment Planning | \$1,850.00 | 6/22/2012 | 6NOW01A0 | \$ 1,628.00 | \$ 740.00 | \$ 888.00 |
| Investor 195 | 8/12/2010 | Investment Planning | \$1,500.00 | 1/13/2011 | 68XK3DA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 195 | 7/29/2009 | Wealth Forecasting | \$1,000.00 | 12/15/2009 | 605DMHA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 195 | 7/29/2009 | Estate Planning | \$1,300.00 | 12/15/2009 | 605DMHA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 195 | 8/12/2010 | Wealth Forecasting | \$1,000.00 | 1/13/2011 | 68XK3DA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 195 | 2/12/2012 | Wealth Forecasting | \$1,000.00 | 6/22/2012 | 6NOW01A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 195 | 3/4/2013 | Wealth Forecasting | \$1,000.00 | 9/4/2013 | 73LQILA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 195 | 2/12/2012 | Estate Planning | \$550.00 | 6/22/2012 | 6NOW01A0 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 195 | 8/12/2010 | Estate Planning | \$550.00 | 1/13/2011 | 68XK3DA0 | \$ 484.00 | \$ 220.00 | \$ 264.00 |
| Investor 195 | 6/10/2008 | FOCUSPlan Other | \$1,200.00 | 8/12/2008 | 16405001 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 195 | 6/10/2008 | Strategy Other | \$1,500.00 | 8/12/2008 | 16405001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$21,950.00 | | | | | |
| Investor 196 | 10/1/2009 | Investment Planning | \$1,100.00 | 3/2/2010 | 61M8YLA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 196 | 9/21/2010 | Investment Planning | \$1,300.00 | 1/28/2011 | 6BSH1JA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 196 | 9/13/2011 | Investment Planning | \$1,500.00 | 2/22/2012 | 6L6EANA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 196 | 9/10/2012 | Investment Planning | \$1,350.00 | 3/3/2013 | 6X29NYA0 | \$ 1,188.00 | \$ 540.00 | \$ 648.00 |
| Investor 196 | 8/22/2013 | Investment Planning | \$1,400.00 | 2/3/2014 | 7ACHXIA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 196 | 9/16/2014 | Investment Planning | \$1,300.00 | 2/19/2015 | 7NF0SIA0 | \$ 975.00 | \$ 520.00 | \$ 455.00 |
| Investor 196 | 8/13/2015 | Investment Planning | \$1,700.00 | 12/1/2015 | 82YTNPAA0 | \$ 1,232.50 | \$ 680.00 | \$ 552.50 |
| Investor 196 | 4/27/2007 | FOCUSPlan Other | \$1,200.00 | 10/26/2007 | 14876701 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 196 | 9/27/2007 | Strategy Other | \$1,000.00 | 3/26/2008 | 15441901 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 196 | 9/10/2008 | Strategy Other | \$1,250.00 | 3/31/2009 | 16703001 | \$ 1,100.00 | \$ 500.00 | \$ 600.00 |
| | | | \$13,100.00 | | | | | |
| Investor 197 | 3/12/2009 | FOCUSPlan | \$800.00 | 9/15/2009 | 17311201 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| | | | \$800.00 | | | | | |
| Investor 198 | 4/8/2010 | Investment Planning | \$1,000.00 | 10/7/2010 | 65Q9UCA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 198 | 6/5/2012 | Investment Planning | \$1,750.00 | 11/16/2012 | 6PIUU7A0 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 198 | 4/8/2010 | Estate Planning | \$650.00 | 10/7/2010 | 65Q9UCA0 | \$ 572.00 | \$ 260.00 | \$ 312.00 |
| Investor 198 | 3/27/2008 | Strategy Other | \$1,500.00 | 8/26/2008 | 16136601 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 198 | 2/12/2009 | Investment Planning | \$1,500.00 | 7/6/2009 | 17193001 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$6,400.00 | | | | | |
| Investor 199 | 8/18/2009 | Investment Planning | \$1,300.00 | 2/12/2010 | 60JV50A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 199 | 8/12/2010 | Investment Planning | \$1,100.00 | 2/11/2011 | 68XIZ7A0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 199 | 8/17/2011 | Investment Planning | \$1,300.00 | 2/22/2012 | 6KPB4NA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 199 | 8/16/2012 | FOCUSPlan | \$1,950.00 | 2/15/2013 | 6VVKCLHA0 | \$ 1,716.00 | \$ 780.00 | \$ 936.00 |
| Investor 199 | 8/15/2013 | FOCUSPlan | \$2,100.00 | 2/15/2014 | 790I5YA0 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 199 | 8/13/2014 | Investment Planning | \$1,850.00 | 2/6/2015 | 7MC32YA0 | \$ 1,387.50 | \$ 740.00 | \$ 647.50 |
| Investor 199 | 8/7/2015 | Investment Planning | \$1,500.00 | 11/16/2015 | 82VW5QA0 | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 199 | 8/17/2011 | Wealth Forecasting | \$1,000.00 | 2/22/2012 | 6KPB4NA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 199 | 8/12/2010 | Wealth Forecasting | \$1,000.00 | 2/11/2011 | 68XIZ7A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 199 | 8/18/2009 | Wealth Forecasting | \$500.00 | 2/12/2010 | 60JV50A0 | \$ 440.00 | \$ 200.00 | \$ 240.00 |
| Investor 199 | 8/23/2007 | Strategy Other | \$1,900.00 | 2/25/2008 | 15302601 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 199 | 8/18/2008 | Strategy Other | \$2,300.00 | 2/26/2009 | 16630901 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| | | | \$17,800.00 | | | | | |

| Investor # | Signed Date | Service Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought | |
|--------------|-------------|---------------------|--------------------|------------------|-----------------------|----------------------------|-----------------------------|-------------|
| Investor 200 | 8/10/2009 | Investment Planning | \$1,060.00 | 11/30/2009 | 60GOLVA0 | \$ 932.80 | \$ 424.00 | \$ 508.80 |
| Investor 200 | 7/10/2010 | Investment Planning | \$1,100.00 | 11/8/2010 | 67RJARA0 | \$ 968.00 | \$ 440.00 | \$ 528.00 |
| Investor 200 | 7/8/2011 | Investment Planning | \$1,300.00 | 10/7/2011 | 6HLSMXA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 200 | 7/22/2012 | Investment Planning | \$1,200.00 | 12/18/2012 | 6UW999A0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 200 | 7/10/2013 | Investment Planning | \$1,200.00 | 12/10/2013 | 78VQ9KA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 200 | 7/2/2014 | Investment Planning | \$1,150.00 | 12/5/2014 | 7KL0MKA0 | \$ 862.50 | \$ 460.00 | \$ 402.50 |
| Investor 200 | 6/3/2015 | Investment Planning | \$1,000.00 | 11/16/2015 | 7Y7ENDAO | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 200 | 8/10/2007 | Strategy Other | \$525.00 | 2/1/2008 | 15251501 | \$ 462.00 | \$ 210.00 | \$ 252.00 |
| Investor 200 | 8/29/2008 | Strategy Other | \$1,300.00 | 2/9/2009 | 16668801 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| | | | \$9,835.00 | | | | | |
| Investor 201 | 11/16/2009 | Investment Planning | \$1,500.00 | 5/12/2010 | 62NJFJA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 201 | 11/23/2010 | Investment Planning | \$1,500.00 | 5/5/2011 | 6D2ESBA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 201 | 11/16/2011 | Investment Planning | \$2,450.00 | 5/7/2012 | 6MAM1VA0 | \$ 2,156.00 | \$ 980.00 | \$ 1,176.00 |
| Investor 201 | 11/13/2012 | Investment Planning | \$2,050.00 | 5/13/2013 | 70HOM9A0 | \$ 1,804.00 | \$ 820.00 | \$ 984.00 |
| Investor 201 | 11/4/2013 | Investment Planning | \$1,975.00 | 3/21/2014 | 7EVHAZA0 | \$ 1,738.00 | \$ 790.00 | \$ 948.00 |
| Investor 201 | 11/24/2014 | Investment Planning | \$1,700.00 | 5/10/2015 | 7RPDF3A0 | \$ 1,275.00 | \$ 680.00 | \$ 595.00 |
| Investor 201 | 11/20/2015 | Investment Planning | \$1,600.00 | 5/13/2016 | 87J07QA0 | \$ 1,160.00 | \$ 640.00 | \$ 520.00 |
| Investor 201 | 11/23/2010 | Wealth Forecasting | \$900.00 | 5/5/2011 | 6D2ESBA0 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 201 | 11/16/2009 | Wealth Forecasting | \$600.00 | 5/12/2010 | 62NJFJA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 201 | 11/29/2007 | Strategy Other | \$2,100.00 | 6/3/2008 | 15679101 | \$ 1,848.00 | \$ 840.00 | \$ 1,008.00 |
| Investor 201 | 11/17/2008 | FOCUSPlan Other | \$1,200.00 | 5/6/2009 | 16939901 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 201 | 11/17/2008 | Strategy Other | \$1,500.00 | 5/6/2009 | 16939901 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| | | | \$19,075.00 | | | | | |
| Investor 202 | 6/14/2010 | Tax-Sensitive | \$2,250.00 | 12/10/2010 | 67DNA5A0 | \$ 1,980.00 | \$ 900.00 | \$ 1,080.00 |
| Investor 202 | 6/20/2011 | Tax-Sensitive | \$2,850.00 | 9/16/2011 | 6H7NC2A0 | \$ 2,508.00 | \$ 1,140.00 | \$ 1,368.00 |
| Investor 202 | 6/4/2012 | FOCUSPlan | \$2,850.00 | 11/16/2012 | 6PGZIQAO | \$ 2,508.00 | \$ 1,140.00 | \$ 1,368.00 |
| Investor 202 | 6/3/2013 | FOCUSPlan | \$3,000.00 | 11/15/2013 | 76ZG3XA0 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 202 | 6/16/2014 | FOCUSPlan | \$3,000.00 | 10/2/2014 | 7JXL5QA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 202 | 6/16/2015 | FOCUSPlan | \$2,600.00 | 9/24/2015 | 724JZZAO | \$ 1,885.00 | \$ 1,040.00 | \$ 845.00 |
| Investor 202 | 6/16/2015 | Investment Planning | \$1,500.00 | 9/24/2015 | 724JZZAO | \$ 1,087.50 | \$ 600.00 | \$ 487.50 |
| Investor 202 | 6/16/2014 | Investment Planning | \$1,500.00 | 10/2/2014 | 7JXL5QA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 202 | 6/3/2013 | Investment Planning | \$2,350.00 | 11/15/2013 | 76ZG3XA0 | \$ 2,068.00 | \$ 940.00 | \$ 1,128.00 |
| Investor 202 | 6/4/2012 | Investment Planning | \$2,500.00 | 11/16/2012 | 6PGZIQAO | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 202 | 6/20/2011 | Investment Planning | \$1,500.00 | 9/16/2011 | 6H7NC2A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 202 | 6/14/2010 | Investment Planning | \$1,500.00 | 12/10/2010 | 67DNA5A0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 202 | 6/14/2010 | Wealth Forecasting | \$1,000.00 | 12/10/2010 | 67DNA5A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 202 | 6/20/2011 | Wealth Forecasting | \$1,000.00 | 9/16/2011 | 6H7NC2A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 202 | 6/4/2012 | Wealth Forecasting | \$1,000.00 | 11/16/2012 | 6PGZIQAO | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 202 | 6/3/2013 | Wealth Forecasting | \$600.00 | 11/15/2013 | 76ZG3XA0 | \$ 528.00 | \$ 240.00 | \$ 288.00 |
| Investor 202 | 6/16/2014 | Wealth Forecasting | \$620.00 | 10/2/2014 | 7JXL5QA0 | \$ 465.00 | \$ 248.00 | \$ 217.00 |
| Investor 202 | 6/16/2015 | Wealth Forecasting | \$600.00 | 9/24/2015 | 724JZZAO | \$ 435.00 | \$ 240.00 | \$ 195.00 |
| Investor 202 | 6/20/2011 | Estate Planning | \$2,000.00 | 9/16/2011 | 6H7NC2A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 202 | 6/14/2010 | Estate Planning | \$2,000.00 | 12/10/2010 | 67DNA5A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 202 | 6/11/2007 | Strategy Other | \$3,600.00 | 12/13/2007 | 15036901 | \$ 3,168.00 | \$ 1,440.00 | \$ 1,728.00 |
| Investor 202 | 6/11/2008 | FOCUSPlan Other | \$1,900.00 | 12/10/2008 | 16405201 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| Investor 202 | 6/11/2008 | Strategy Other | \$2,500.00 | 12/10/2008 | 16405201 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 202 | 6/22/2009 | FOCUSPlan | \$1,400.00 | 9/25/2009 | 17633601 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 202 | 6/22/2009 | Investment Planning | \$1,500.00 | 9/25/2009 | 17633601 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 202 | 6/22/2009 | Wealth Forecasting | \$1,000.00 | 9/25/2009 | 17633601 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 202 | 6/22/2009 | Estate Planning | \$2,000.00 | 9/25/2009 | 17633601 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| | | | \$50,120.00 | | | | | |
| Investor 203 | 6/27/2011 | Investment Planning | \$800.00 | 9/22/2011 | 6HCGCSA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 203 | 6/4/2012 | Investment Planning | \$1,300.00 | 11/16/2012 | 6UUGHKA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 203 | 6/26/2013 | Investment Planning | \$1,300.00 | 12/10/2013 | 78J1P2A0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| | | | \$3,400.00 | | | | | |
| Investor 204 | 3/26/2010 | FOCUSPlan | \$1,200.00 | 8/31/2010 | 65H3HMA0 | \$ 1,056.00 | \$ 480.00 | \$ 576.00 |
| Investor 204 | 2/8/2011 | Investment Planning | \$1,475.00 | 7/22/2011 | 6EJWDJA0 | \$ 1,298.00 | \$ 590.00 | \$ 708.00 |
| Investor 204 | 2/23/2012 | Investment Planning | \$2,250.00 | 8/27/2012 | 6NUDZKA0 | \$ 1,980.00 | \$ 900.00 | \$ 1,080.00 |
| Investor 204 | 2/20/2013 | FOCUSPlan | \$2,300.00 | 8/20/2013 | 73G3L6A0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 204 | 2/12/2014 | FOCUSPlan | \$2,200.00 | 7/30/2014 | 7HLPD2A0 | \$ 1,650.00 | \$ 880.00 | \$ 770.00 |
| Investor 204 | 2/18/2015 | FOCUSPlan | \$2,050.00 | 8/20/2015 | 7U5SIOA0 | \$ 1,486.25 | \$ 820.00 | \$ 666.25 |
| Investor 204 | 2/9/2016 | FOCUSPlan | \$2,800.00 | 8/4/2016 | 896QADA0 | \$ 1,960.00 | \$ 1,120.00 | \$ 840.00 |
| Investor 204 | 2/18/2015 | Investment Planning | \$1,000.00 | 8/20/2015 | 7U5SIOA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 204 | 2/8/2011 | Wealth Forecasting | \$1,000.00 | 7/22/2011 | 6EJWDJA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 204 | 3/26/2010 | Investment Planning | \$1,000.00 | 8/31/2010 | 65H3HMA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 204 | 2/29/2008 | Strategy Other | \$2,500.00 | 8/13/2008 | 16030001 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 204 | 3/17/2009 | FOCUSPlan | \$1,900.00 | 9/15/2009 | 17327801 | \$ 1,672.00 | \$ 760.00 | \$ 912.00 |
| | | | \$21,675.00 | | | | | |
| Investor 205 | 3/31/2010 | Investment Planning | \$1,500.00 | 7/26/2010 | 65LD7EA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 205 | 4/4/2011 | FOCUSPlan | \$1,635.00 | 9/28/2011 | 6FRF83A0 | \$ 1,438.80 | \$ 654.00 | \$ 784.80 |
| Investor 205 | 3/31/2012 | Investment Planning | \$1,400.00 | 9/28/2012 | 6OHVSFA0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 205 | 3/12/2013 | Investment Planning | \$1,300.00 | 8/1/2013 | 73W2LLA0 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 205 | 4/4/2014 | Investment Planning | \$1,100.00 | 6/25/2014 | 7IH39PA0 | \$ 825.00 | \$ 440.00 | \$ 385.00 |
| Investor 205 | 3/24/2015 | Investment Planning | \$1,000.00 | 8/6/2015 | 7VF20GA0 | \$ 725.00 | \$ 400.00 | \$ 325.00 |
| Investor 205 | 3/31/2016 | Investment Planning | \$850.00 | 7/15/2016 | 8AAFKVA0 | \$ 595.00 | \$ 340.00 | \$ 255.00 |
| Investor 205 | 3/27/2007 | Strategy Other | \$1,700.00 | 9/20/2007 | 14737901 | \$ 1,496.00 | \$ 680.00 | \$ 816.00 |
| Investor 205 | 4/7/2008 | FOCUSPlan Other | \$900.00 | 10/8/2008 | 16183101 | \$ 792.00 | \$ 360.00 | \$ 432.00 |
| Investor 205 | 4/7/2008 | Strategy Other | \$1,000.00 | 10/8/2008 | 16183101 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 205 | 4/4/2009 | Investment Planning | \$1,380.00 | 10/5/2009 | 17449101 | \$ 1,214.40 | \$ 552.00 | \$ 662.40 |
| | | | \$13,765.00 | | | | | |
| Investor 206 | 7/19/2010 | Detailed Cash Flow | \$3,600.00 | 11/8/2010 | 67XEHTA0 | \$ 3,168.00 | \$ 1,440.00 | \$ 1,728.00 |
| Investor 206 | 8/8/2011 | Tax-Sensitive | \$3,400.00 | 12/9/2011 | 6KKXP9A0 | \$ 2,992.00 | \$ 1,360.00 | \$ 1,632.00 |
| Investor 206 | 8/6/2012 | Tax-Sensitive | \$3,500.00 | 12/27/2012 | 6WFSFDA0 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 206 | 8/5/2013 | Tax-Sensitive | \$3,500.00 | 1/22/2014 | 79IB4FA0 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 206 | 8/19/2014 | FOCUSPlan | \$3,000.00 | 11/5/2014 | 7MHEOPA0 | \$ 2,250.00 | \$ 1,200.00 | \$ 1,050.00 |
| Investor 206 | 8/11/2015 | FOCUSPlan | \$2,500.00 | 11/6/2015 | 82XTK1A0 | \$ 1,812.50 | \$ 1,000.00 | \$ 812.50 |
| Investor 206 | 8/11/2015 | Investment Planning | \$2,000.00 | 11/6/2015 | 82XTK1A0 | \$ 1,450.00 | \$ 800.00 | \$ 650.00 |
| Investor 206 | 8/19/2014 | Investment Planning | \$2,000.00 | 11/5/2014 | 7MHEOPA0 | \$ 1,500.00 | \$ 800.00 | \$ 700.00 |
| Investor 206 | 8/5/2013 | Investment Planning | \$2,300.00 | 1/22/2014 | 79IB4FA0 | \$ 2,024.00 | \$ 920.00 | \$ 1,104.00 |
| Investor 206 | 8/6/2012 | Investment Planning | \$2,500.00 | 12/27/2012 | 6WFSFDA0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 206 | 8/8/2011 | Investment Planning | \$2,500.00 | 12/9/2011 | 6KKXP9A0 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 206 | 7/19/2010 | Investment Planning | \$1,500.00 | 11/8/2010 | 67XEHTA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 206 | 7/19/2010 | Wealth Forecasting | \$1,000.00 | 11/8/2010 | 67XEHTA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 206 | 8/8/2011 | Wealth Forecasting | \$1,000.00 | 12/9/2011 | 6KKXP9A0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 206 | 8/6/2012 | Wealth Forecasting | \$1,000.00 | 12/27/2012 | 6WFSFDA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 206 | 8/5/2013 | Wealth Forecasting | \$1,000.00 | 1/22/2014 | 79IB4FA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|-----------------------|----------------------------|-----------------------------|
| Investor 206 | 8/19/2014 | Wealth Forecasting | \$800.00 | 11/5/2014 | 7MHEOPA0 | \$ 600.00 | \$ 320.00 | \$ 280.00 |
| Investor 206 | 8/11/2015 | Wealth Forecasting | \$800.00 | 11/6/2015 | 82XTK1A0 | \$ 580.00 | \$ 320.00 | \$ 260.00 |
| Investor 206 | 8/11/2015 | Estate Planning | \$700.00 | 11/6/2015 | 82XTK1A0 | \$ 507.50 | \$ 280.00 | \$ 227.50 |
| Investor 206 | 8/19/2014 | Estate Planning | \$700.00 | 11/5/2014 | 7MHEOPA0 | \$ 525.00 | \$ 280.00 | \$ 245.00 |
| Investor 206 | 8/5/2013 | Estate Planning | \$800.00 | 1/22/2014 | 79IB4FA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 206 | 8/6/2012 | Estate Planning | \$800.00 | 12/27/2012 | 6WFSPPA0 | \$ 704.00 | \$ 320.00 | \$ 384.00 |
| Investor 206 | 8/8/2011 | Estate Planning | \$2,000.00 | 12/9/2011 | 6KXPP9A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 206 | 7/19/2010 | Estate Planning | \$2,000.00 | 11/8/2010 | 67XEHTA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 206 | 8/2/2007 | FOCUSPlan Other | \$3,000.00 | 1/31/2008 | 15236701 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 206 | 8/2/2007 | Strategy Other | \$4,500.00 | 1/31/2008 | 15236701 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 206 | 7/10/2008 | FOCUSPlan Other | \$3,500.00 | 1/23/2009 | 16497601 | \$ 3,080.00 | \$ 1,400.00 | \$ 1,680.00 |
| Investor 206 | 7/10/2008 | Strategy Other | \$4,500.00 | 1/23/2009 | 16497601 | \$ 3,960.00 | \$ 1,800.00 | \$ 2,160.00 |
| Investor 206 | 7/22/2009 | Tax-Sensitive | \$3,000.00 | 11/30/2009 | 17728401 | \$ 2,640.00 | \$ 1,200.00 | \$ 1,440.00 |
| Investor 206 | 7/22/2009 | Investment Planning | \$1,500.00 | 11/30/2009 | 17728401 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 206 | 7/22/2009 | Wealth Forecasting | \$1,000.00 | 11/30/2009 | 17728401 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 206 | 7/22/2009 | Estate Planning | \$1,600.00 | 11/30/2009 | 17728401 | \$ 1,408.00 | \$ 640.00 | \$ 768.00 |
| | | | \$67,500.00 | | | | | |
| Investor 207 | 12/17/2009 | FOCUSPlan | \$2,000.00 | 6/18/2010 | 63AUF1A0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/16/2010 | FOCUSPlan | \$2,000.00 | 6/20/2011 | 6DH1TOA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/15/2011 | Select Module | \$1,150.00 | 6/15/2012 | 6MMOHHA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 207 | 12/20/2012 | Investment Planning | \$2,000.00 | 6/20/2013 | 72CYOGA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/19/2013 | FOCUSPlan | \$2,600.00 | 6/20/2014 | 7GHPWA0 | \$ 2,288.00 | \$ 1,040.00 | \$ 1,248.00 |
| Investor 207 | 12/18/2014 | FOCUSPlan | \$2,300.00 | 6/19/2015 | 7T06Y5A0 | \$ 1,725.00 | \$ 920.00 | \$ 805.00 |
| Investor 207 | 12/16/2015 | Investment Planning | \$2,200.00 | 6/3/2016 | 88DRJOA0 | \$ 1,595.00 | \$ 880.00 | \$ 715.00 |
| Investor 207 | 12/20/2012 | Wealth Forecasting | \$1,000.00 | 6/20/2013 | 72CYOGA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 207 | 12/15/2011 | Investment Planning | \$2,000.00 | 6/15/2012 | 6MMOHHA0 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/16/2010 | Investment Planning | \$1,000.00 | 6/20/2011 | 6DH1TOA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 207 | 12/17/2009 | Investment Planning | \$1,400.00 | 6/18/2010 | 63AUF1A0 | \$ 1,232.00 | \$ 560.00 | \$ 672.00 |
| Investor 207 | 12/16/2010 | Wealth Forecasting | \$1,000.00 | 6/20/2011 | 6DH1TOA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 207 | 12/15/2011 | Wealth Forecasting | \$1,000.00 | 6/15/2012 | 6MMOHHA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 207 | 12/21/2007 | FOCUSPlan Other | \$2,000.00 | 6/24/2008 | 15771501 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/21/2007 | Strategy Other | \$1,750.00 | 6/24/2008 | 15771501 | \$ 1,540.00 | \$ 700.00 | \$ 840.00 |
| Investor 207 | 12/19/2008 | FOCUSPlan Other | \$2,000.00 | 6/19/2009 | 17034201 | \$ 1,760.00 | \$ 800.00 | \$ 960.00 |
| Investor 207 | 12/19/2008 | Strategy Other | \$2,500.00 | 6/19/2009 | 17034201 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| | | | \$29,900.00 | | | | | |
| Investor 208 | 3/31/2010 | FOCUSPlan | \$1,135.00 | 7/26/2010 | 65LDAAA0 | \$ 998.80 | \$ 454.00 | \$ 544.80 |
| Investor 208 | 4/4/2011 | FOCUSPlan | \$1,575.00 | 9/29/2011 | 6FR9MLA0 | \$ 1,386.00 | \$ 630.00 | \$ 756.00 |
| Investor 208 | 4/1/2012 | FOCUSPlan | \$1,150.00 | 10/1/2012 | 6OHVUQA0 | \$ 1,012.00 | \$ 460.00 | \$ 552.00 |
| Investor 208 | 3/11/2013 | FOCUSPlan | \$1,950.00 | 8/1/2013 | 73W2J9A0 | \$ 1,716.00 | \$ 780.00 | \$ 936.00 |
| Investor 208 | 4/4/2014 | Investment Planning | \$1,500.00 | 7/7/2014 | 7IH3AEA0 | \$ 1,125.00 | \$ 600.00 | \$ 525.00 |
| Investor 208 | 3/24/2015 | Investment Planning | \$1,150.00 | 7/2/2015 | 7VFMAHA0 | \$ 833.75 | \$ 460.00 | \$ 373.75 |
| Investor 208 | 3/31/2016 | Investment Planning | \$800.00 | 6/17/2016 | 8AAWJKA0 | \$ 560.00 | \$ 320.00 | \$ 240.00 |
| Investor 208 | 4/1/2012 | Investment Planning | \$1,000.00 | 10/1/2012 | 6OHVUQA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 208 | 4/4/2011 | Investment Planning | \$1,000.00 | 9/29/2011 | 6FR9MLA0 | \$ 880.00 | \$ 400.00 | \$ 480.00 |
| Investor 208 | 3/31/2010 | Investment Planning | \$1,500.00 | 7/26/2010 | 65LDAAA0 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 208 | 3/27/2007 | FOCUSPlan Other | \$1,500.00 | 9/21/2007 | 14737501 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 208 | 3/27/2007 | Strategy Other | \$1,300.00 | 9/21/2007 | 14737501 | \$ 1,144.00 | \$ 520.00 | \$ 624.00 |
| Investor 208 | 4/9/2008 | FOCUSPlan Other | \$700.00 | 10/8/2008 | 16189601 | \$ 616.00 | \$ 280.00 | \$ 336.00 |

| Investor # | Signed Date | Service | Fee | Delivery Date | Agreement Number | Ridlon's Share of Fee | Maximum Restitution Sought | Maximum Disgorgement Sought |
|--------------|-------------|---------------------|--------------------|---------------|------------------|------------------------|----------------------------|-----------------------------|
| Investor 208 | 4/9/2008 | Strategy Other | \$2,500.00 | 10/8/2008 | 16189601 | \$ 2,200.00 | \$ 1,000.00 | \$ 1,200.00 |
| Investor 208 | 4/3/2009 | Investment Planning | \$1,500.00 | 10/9/2009 | 17469401 | \$ 1,320.00 | \$ 600.00 | \$ 720.00 |
| Investor 208 | 4/3/2009 | Wealth Forecasting | \$950.00 | 10/9/2009 | 17469401 | \$ 836.00 | \$ 380.00 | \$ 456.00 |
| | | | \$21,210.00 | | | \$ 2,857,138.29 | \$ 1,343,427.20 | \$ 1,513,711.09 |